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ABSTRACT

This report summarizes a goal evaluation study of the Personnel Preparation Program, one of five divisions in the Office of Special Education Programs (OSEP) of the U.S. Department of Education's Office of Special Education and Rehabilitative Services (OSHERS). The Personnel Preparation Program is intended to increase the numbers of qualified persons providing education and related services to children and youth with disabilities through grants to institutions of higher education, state education agencies, or other nonprofit organizations for activities including program development, evaluation, technical assistance, and financial assistance to participants. The goal evaluation project conducted project review of a representative sample of 57 projects. The following conclusions were reached: strategies can be implemented through grant activities to an extent that supports program objectives; project results support program objectives; many project results are well documented; and program logic and assumptions are valid. Recommendations address: first, immediate actions needed to address problems or information gaps; and second, candidate topics for the strategy evaluation phase of the study. A set of appendices bound in a separate volume include the protocol for project reviews, the project review instrument, a listing of competition areas, a description of the study sample, a list of persons interviewed, and a bibliography of 77 program related documents. (DB)

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Evaluation of Discretionary Programs Under the Education of the Handicapped Act: Personnel Preparation Program

A project of American Institutes for Research
as subcontractor to COSMOS Corporation

Final Goal Evaluation Report

March 31, 1987

Prepared for Office of Special Education Programs
U.S. Department of Education
under Contract No. 300-85-0143 to COSMOS Corporation

EA 301011

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Evaluation of Discretionary Programs
Under the Education of the Handicapped Act:
Personnel Preparation Program

A Project of
American Institutes for Research
as subcontractor to COSMOS Corporation

Final Goal Evaluation Report

Peggie L. Campeau
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March 31, 1987

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PREFACE AND ACKNOWLEDGEMENTS

This report summarizes highlights from an evaluation of the Personnel Preparation Program, one of five divisions in the Office of Special Education Programs (OSEP) in the U.S. Department of Education's Office of Special Education and Rehabilitative Services (OSERS). This initial effort was a goal evaluation, conducted by a study team from the American Institutes for Research (AIR). A separate effort, to be undertaken by AIR in FY87, will be a strategy evaluation of one or more aspects of the program.

The Personnel Preparation Program is the third of five discretionary programs to be studied under an OSEP contract with COSMOS Corporation, with whom AIR is participating as subcontractor. The COSMOS project director is Robert Yin; the AIR subcontract director is Peggie L. Campeau, who also serves as task leader for the Personnel Preparation Program evaluation.

The other programs being evaluated under this contract are the Handicapped Children's Early Education Program, the Media Services/Technology Program, the Severely Handicapped Program, and Secondary Education and Transitional Services. All five programs operate under the Education of the Handicapped Act, as amended.

OSEP, through this contract, is utilizing a program analysis approach that assists federal program managers. It takes them through a sequence of steps in which they (1) clarify and agree on performance objectives for their programs and on strategies for meeting them, (2) make explicit the assumptions that are implicit in their choices, and (3) evaluate and improve the plausibility and efficacy of these strategic choices.

A particular strength of the approach is that it combines the expertise of program managers, a work group of peers and staff, and an external evaluator (in this case, AIR), all of whom go through descriptive and analytic processes together. The forum for their deliberations is a series of structured work group meetings, held once every four to six weeks throughout the evaluation process.

The work group members for the Personnel Preparation Program goal evaluation are listed below. They helped to develop some of the study's products, and reviewed and critiqued others. Their knowledge of the Personnel Preparation Program and its policy context, and the time they invested to make sure that this collective effort stayed on track, were essential to the pertinence and utility of the goal evaluation process.

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While the authors alone are responsible for the final product, they would also like to thank the work group and other individuals who consented to be interviewed or to provide documents and other information to the study team.

In particular, we wish to acknowledge the exceptional cooperation of project directors and principal investigators of grant projects in the study sample, who participated in lengthy telephone interviews with the study team.

The project was supported by funds from the U.S. Department of Education under contract number 300-85-0143. The content of this report does not necessarily reflect the views or policies of the U.S. Department of Education, nor does mention of trade names, commercial products, or organizations imply their endorsement by the U.S. government.

EXECUTIVE SUMMARY

This summary highlights findings and conclusions of a goal evaluation of the Personnel Preparation Program, administered by the Division of Personnel Preparation (PPP), one of five divisions in the Office of Special Education Programs (OSEP) in the U.S. Department of Education's Office of Special Education and Rehabilitative Services (OSERS).

Overview of the Personnel Preparation Program

The program was authorized in 1970 under Part D of the Education of the Handicapped Act (P.L. 91-230), although the history of federal involvement in the preparation of personnel to work with the handicapped goes back nearly 30 years.

The present program, which is the largest of the discretionary programs in OSEP, has received total appropriations of over $800 million since 1966 for the purpose of increasing the number of fully qualified persons that are available to provide education and related services to handicapped children and youth. Appropriations exceeded $60 million each year in FY85 and FY86, and the authorized funding level for FY87 exceeds $70 million.

The Personnel Preparation Program awards grants that may be renewed annually for up to five years (three years, generally). Grantees may be institutions of higher education (IHEs), state education agencies (SEAs), or other appropriate nonprofit organizations, who may use their funds in these major ways: to develop, improve, and support personnel preparation programs (and to provide financial assistance to participants in these programs); to develop, evaluate, and disseminate models with broad significance for the field of personnel preparation; and to provide technical assistance and information to training providers, including parent organizations, so that they will be able to meet effectively the needs of children and youth for specialized educational and related services, and to interact effectively with the system on their behalf.

In FY86, OSERS announced 10 priorities for competition: (1) preparation of special educators; (2) preparation of related services personnel; (3) parent organization projects; (4) preparation of personnel to provide special education and related services to newborn and infant handicapped children; (5) preparation of leadership personnel; (6) special projects; (7) state education agency (SEA) projects; (8) preparation of personnel to work in rural areas; (9) preparation of personnel for minority handicapped children; and (10) regular educators. Not all published priorities need be announced for new grant competition each year; for example, the "transition" priority was not announced for new grant competition for FY86.

Overview of the Goal Evaluation Process

The goal evaluation had three purposes. One purpose was to determine the degree to which those strategies the federal program intends to pursue through the above major types of grant activities are actually being implemented by grantees. The second purpose was to determine, to the extent that data available to the study team permitted, if the Personnel Preparation Program is achieving its objectives. Third, the goal evaluation developed information to show if funded activities can logically and plausibly produce the outcomes desired by the program, even if actual evidence of these outcomes is insufficient.

The goal evaluation process drew heavily on the assistance of OSEP staff and management. Throughout, the task leader met with a work group composed of managers and staff representing the program, OSEP, and Office of Planning, Budget, and Evaluation (OPBE). They helped to develop some of the study's products, and reviewed and critiqued others. Their knowledge of the Personnel Preparation Program and its policy context, and the time they invested to make sure that this collective effort stayed on track, were essential to the pertinence and utility of the goal evaluation process.

The evaluation approach consists of two parts: a goal evaluation and a strategy evaluation. This summary pertains to the goal-oriented phase of the evaluation, which is now complete.

The main steps in the goal evaluation included: (1) documenting the program's logic and underlying assumptions; (2) conducting project reviews of a representative sample of 57 projects, with data collection emphasizing depth in areas important for a program analysis of this type; (3) analyzing program implementation, performance, and plausibility; and (4) drawing conclusions and framing recommendations for program management, OSEP, and the work group to review in preparation for planning the second, strategy-oriented phase of the evaluation.

Program Objectives and Logic

The work group reached a consensus on the following statement of the Personnel Preparation Program's ultimate goal and objectives:

> Ultimate goal: To enhance education and related services for handicapped children and youth through the preparation of specialized personnel

"Specialized personnel" means any personnel, including regular educators, who have the knowledge and skills necessary to deliver such services to this broad target group. Using the word "enhance" deliberately implies that (1) fully achieving "free and appropriate public education" for handicapped individuals is beyond the direct control or resources of the federal government and, in turn, the program and that (2) appropriate roles for the program are complementary and catalytic ones.

To achieve its ultimate goal within these two caveats and those in the authorizing legislation and regulations, the Personnel Preparation Program directs its efforts to three enabling objectives:

- To produce more qualified personnel to serve children and youth who are handicapped
- To improve the quality of personnel trained to serve children and youth who are handicapped
- To expand the capacity of the system for personnel development

The Personnel Preparation Program utilizes eight major strategies to attain these three objectives:

1. Supporting recruitment and retention
2. Targeting critical needs
3. Supporting model program development, evaluation, and dissemination
4. Supporting leardership development
5. Encouraging state and professional standards
6. Supporting parent organization projects
7. Building capacity
8. Promoting institutionalization

Figure 1 portrays the logic of the overall program. It shows the relationships among events that influence program design, implementation, and capacity to meet these objectives. Figure 2 shows the relationship among federal strategies, grant activities, and program objectives. The causal assumptions implied by the two figures are made explicit in the full report of the goal evaluation.

These major points are relevant to the Figures 1 and 2:

- The Personnel Preparation Program pursues particular <u>strategies</u> through activities that grantees carry out at the state, institutional, and local level. (These strategies and activities are the row and column labels, respectively, in Figure 2.)
- Thus, the grant programs are the primary mechanism for implementing federal strategies and legislative intent.
- The matrix conveys the expectation that, in aggregate, (1) projects in a particular priority area will contribute more to one program objective than to the other two, and that (2) the means they implement will be congruent with the federal strategy(ies) that are "attached" to that objective.
- It is possible to focus grant competitions (for selected priorities) to accommodate one or more of the strategies (and program objectives).

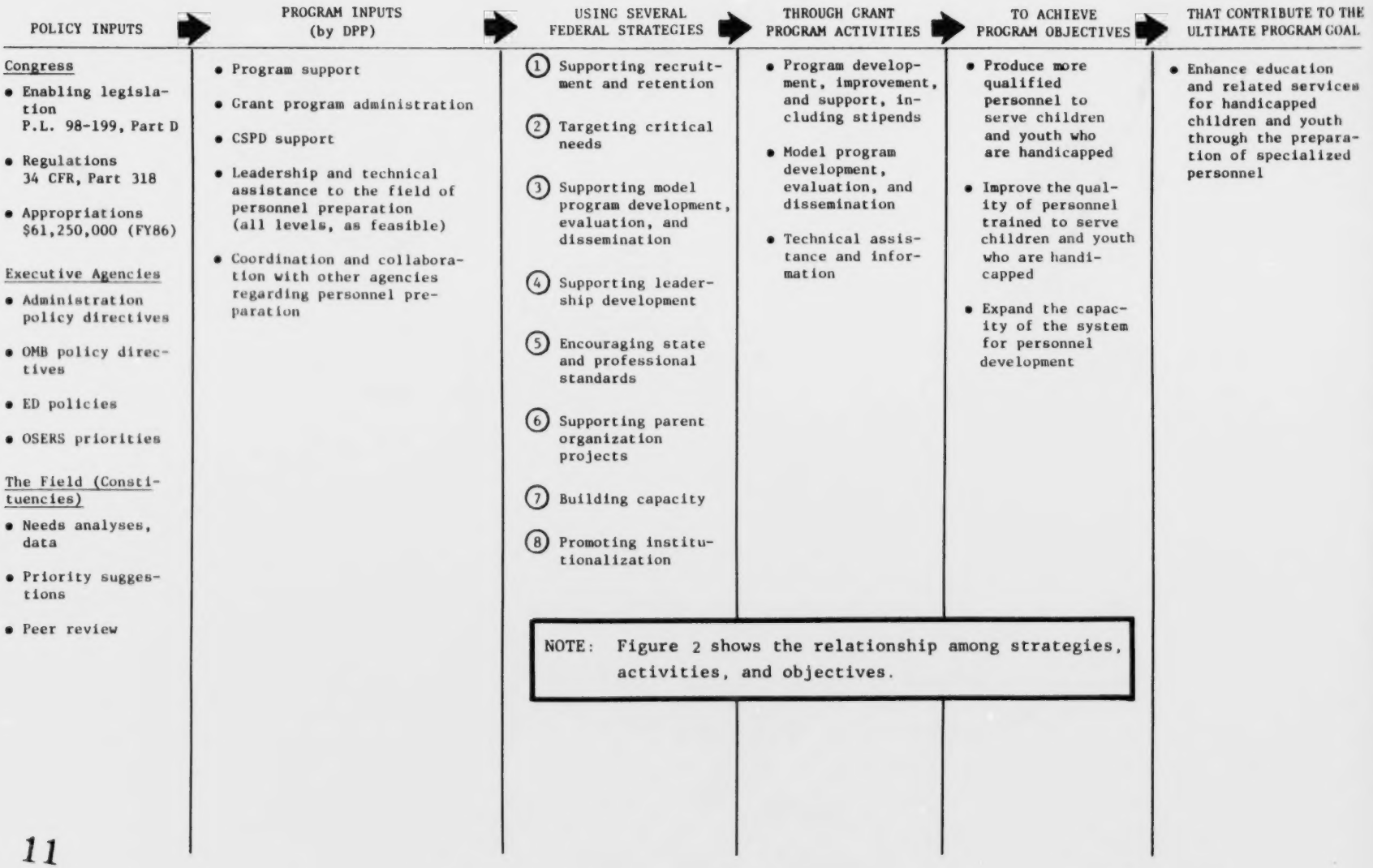
POLICY INPUTS
PROGRAM INPUTS (by DPP)
USING SEVERAL FEDERAL STRATEGIES
THROUGH GRANT PROGRAM ACTIVITIES
TO ACHIEVE PROGRAM OBJECTIVES
THAT CONTRIBUTE TO THE ULTIMATE PROGRAM GOAL
Congress
• Enabling legislation P.L. 98-199, Part D
• Regulations 34 CFR, Part 318
• Appropriations $61,250,000 (FY86)
Executive Agencies
• Administration policy directives
• OMB policy directives
• ED policies
• OSERS priorities
The Field (Constituencies)
• Needs analyses, data
• Priority suggestions
• Peer review
• Program support
• Grant program administration
• CSPD support
• Leadership and technical assistance to the field of personnel preparation (all levels, as feasible)
• Coordination and collaboration with other agencies regarding personnel preparation
1 Supporting recruitment and retention
2 Targeting critical needs
3 Supporting model program development, evaluation, and dissemination
4 Supporting leadership development
5 Encouraging state and professional standards
6 Supporting parent organization projects
7 Building capacity
8 Promoting institutionalization
• Program development, improvement, and support, including stipends
• Model program development, evaluation, and dissemination
• Technical assistance and information
• Produce more qualified personnel to serve children and youth who are handicapped
• Improve the quality of personnel trained to serve children and youth who are handicapped
• Expand the capacity of the system for personnel development
• Enhance education and related services for handicapped children and youth through the preparation of specialized personnel
NOTE: Figure 2 shows the relationship among strategies, activities, and objectives.

Figure 1. Personnel Preparation Program Logic Model

PROGRAM OBJECTIVES/ FEDERAL STRATEGIES	GRANT ACTIVITIES		
	Program Development, Improvement, and Support, Including Stipends	Model Development, Evaluation, and Dissemination	Technical Assistance and Information
Produce more qualified personnel ... (1) Supporting recruitment and retention (2) Targeting critical needs areas	Special Educators ① ② Related Services ① ② Rural ① ② Infant ① ② Transition ① ② Minority ① ② I		
Improve the quality of personnel ... (3) Supporting model program development, evaluation, and dissemination (4) Supporting leadership development (5) Encouraging state and professional standards	II Leadership Projects ④	Special Projects ③ III	
Expand the capacity of the system for personnel development ... (6) Supporting parent organization projects (7) Supporting improvements in system capacity (8) Promoting institutionalization	IV Regular Educators ⑦ SEA Projects ⑦		Parent Organization Projects ⑥ V

Figure 2. The Intended Relationship Among Program Objectives, Federal Strategies, Grant Activities, and Primary Foci of Competitions (FY86)

- The essential core of grantmaking activity is represented by the five clusters of primary activity depicted in Figure 2 (see Roman numerals in five cells).

- Cell entries indicate the main emphasis of FY86 grant activity. These clusters might be consituted differently, depending upon how each competition area is defined for a particular fiscal year.

The (above) gross classification scheme that Figures 1 and 2 provide served two purposes in the goal evaluation. One was to show the Personnel Preparation Program's overall strategic plan, where the federal investment in grants is intended to generate the most mileage toward one of the three objectives. (The work group realized that projects will implement strategies in addition to those shown as their primary emphasis in Figure 2.) The second purpose of the classification scheme was to provide the conceptual underpinnings for planning data collection and analyses.

Data Collection Approach and Related Caveats

The study team carried out 57 confidential project reviews, in which the primary data sources were information in grant files and 75-minute (average) focused telephone interviews with project directors and/or principal investigators. (One project was dropped because available information was too minimal to include it in subsequent analyses.)

The study sample consisted of subsamples drawn from each of the program's priority areas, shown as cell entries in Figure 2. For the most part, projects were drawn at random from FY86 continuations whose initial year for their current grant was FY84.

Restricting data collection to currently operating projects, most of which began in FY84, ensured that they had been running long enough to have learned lessons from their implementation experience that would be very informative for a program analysis of the type conducted in a goal evaluation. Also, better cooperation was expected from project staff whose projects were currently operating than from projects that had been completed or discontinued.

On the other hand, data collection from "live" projects necessarily restricted the study to conclusions on prospective program performance supported by evidence that grantees said they were collecting or were likely to present in their final performance reports.

These additional caveats apply to conclusions from the goal evaluation:

- It is not within the scope of a goal evaluation to collect primary data on project accomplishments, or to capture all relevant perspectives. Project reviews rely on two major secondary data sources: initial and continuation applications in grant files, and interviews with project directors or principal investigators. Although interviews were conducted on a confidential basis, and most interviewees seemed to be candid, it is possible that some relevant information was not communicated.

- Evaluation resources for the goal evaluation did not permit data collection from third parties, such as consumers (agencies who subsequently utilize the personnel trained and the models or programs developed through grant activities). They could have indicated the extent to which these products are meeting their critical needs and are found to be high-quality, useful, and effective.

- The goal evaluation sample is small in proportion to the size of the program, although it is representative of the broad array of Personnel Preparation Program grant activities, and six of the eleven subsamples constituted between 25% and 37% of their sampling pools.

- Conclusions pertain specifically to federal strategies as the Personnel Preparation Program perceived them, and grantees implemented them, in grant activities operating in FY86.

- Goal evaluations do not examine program management procedures per se, but do try to determine whether intended major program inputs (see Figure 1, Column 2) occur at a level that supports program objectives and the federal strategies that are pursued to attain objectives.

Major Conclusions

The generally positive findings presented in the full report of the goal evaluation justify the conclusions that follow, but also indicate areas that could profit from further examination in the next phase of the evaluation.

Strategies Can Be Implemented Through Grant Activities To An Extent That Supports Program Objectives

and

Project Results Support Program Objectives

All projects in the study sample were judged to be implementing (1) the federal strategies that were expected to be their primary emphasis and, in addition, (2) one or more of the strategies associated with other program objectives (and competition foci).

Overall, the nature of quantitative and qualitative evidence of their activities and accomplishments, provided in the full report of the goal evaluation, indicates a good fit with program objectives. (See below.)

Many Project Results Are Well Documented

Nearly 80% of the study sample claimed to be achieving outcomes that pertain to the first program objective, "to produce more qualified personnel." They indicated that their supporting data included: numbers of individuals recruited, trained, and graduated (by level and specialty); number of program graduates who subsequently enter careers in special education in roles and areas for which they were trained; number and nature of the training, technical assistance, and dissemination activities that grantees carried out; and the number and nature of the models and materials they developed.

Over 30% of the study sample reported outcomes and claimed to have data to support the second program objective, "to improve the quality of personnel trained." These data, however, are subjective and qualitative. For example, evidence of model quality, improved competence, and use of state-of-the-art practice in personnel preparation consisted mostly of subjective assessments of "experts," project staffs (who may both design and implement the model during its developmental tryout), and participants' instructors or supervisors. Although soft, such data served the formative evaluation needs of these model and program development projects very well. Moreover, as these three-year grant activities are presently focused, it may not be feasible to expect

grantees to obtain data that would rigorously support this federal program objective.

More than 75% of the study sample reported outcomes that constituted a wide variety of system improvements which would support the third program objective, "to expand the capacity of the system for personnel development." However, much of their corroborating evidence probably will not be provided in final performance reports in a form that makes it feasible for federal program staff to extract and aggregate.

Program Logic and Assumptions Are Valid

In the type of analysis characteristic of a goal evaluation, judgments of the validity of program logic and assumptions, and the plausibility of program objectives, are based on evidence of "congruence," rather than by testing cause-effect linkages. In theory, such an analysis may reveal that what projects in the field are actually attempting in their day-to-day operations is not consistent with expectations at the federal program level. However, in the Personnel Preparation Program's case, (1) a close correspondence was found between expected and reported emphases on federal strategies through major kinds of grant activity, and (2) the results and corroborating data that grantees in the study sample claim to have will support federal program objectives.

In short, no major incongruities with the logic model are apparent from what is actually being attempted through the operating grant projects in the study sample.

Recommendations

The full report of the goal evaluation presents two types of recommendations. One set suggests actions that could be taken immediately to address problems or information gaps the goal evaluation identified. A second set identifies candidate topics that could be examined in the strategy evaluation phase of the study.

TABLE OF CONTENTS

Preface and Acknowledgments i

Executive Summary v

I. OVERVIEW OF THE PERSONNEL PREPARATION PROGRAM 1

Funding History 1
Legislative History 1
Method of Operation 3
Rationale for a Federal Role in Personnel Preparation 5
Program Goal and Objectives 7
Program Logic 8
Causal Assumptions 14

II. METHODOLOGY 15

Sample Selection 17
Rationale for the Sampling Approach 20
Data Collection and Analysis 21
Caveats 24

III. PROGRAM IMPLEMENTATION 27

Introduction 27
Strategy 1: Recruitment/Retention 28
Strategy 2: Targeting Critical Needs Areas 32
Strategy 3: Model Development, Evaluation, and Dissemination . 35
Strategy 4: Leadership Development 38
Strategy 5: State and Professional Standards 39
Strategy 6: Parent Organization Projects 42
Strategy 7: System Improvements 44
Strategy 8: Institutionalization 48
Summary of Findings on Implementation of Federal Strategies . . 50
Federal Program Inputs by the Division of
Personnel Preparation (DPP) 55

IV. PROGRAM PERFORMANCE 71

Introduction 71
Outputs 73
Outcomes 76
Summary of Findings on Program Performance 84

V. PROGRAM PLAUSIBILITY 85

Introduction 85
Plausibility of Objective 1 87
Plausibility of Objective 2 91
Plausibility of Objective 3 95
Summary of Findings on Program Plausibility 98

VI. CONCLUSIONS AND RECOMMENDATIONS 99

Introduction 99
Conclusions 100
Recommendations 103

APPENDICES (Bound separately.)

A. Protocol for Project Reviews
B. Project Review Instrument
C. Competition Areas
D. The Study Sample
E. List of Persons Interviewed
F. Bibliography of Program-Related Documents

TABLES

1. How Grantees Implemented Recruitment and Retention (Strategy 1) 30
2. Data Sources Grantees Used to Document Critical Needs That Their Projects Proposed to Address 34
3. Activities That Grantees Said They Undertook To Promote State/Professional Standards (Strategy 5) 41
4. How Grantees Implemented System Improvements (Strategy 7) 46
5. Projects Judged to Be Emphasizing Particular Federal Strategies . 52
6. Projects Judged to Be Emphasizing Major Types of Grant Activity . 53
7. Outputs Being Documented by Projects in the Goal Evaluation Sample 77
8. Outcomes Being Documented by Projects in the Goal Evaluation Sample that Contribute to the Federal Program Goal and Objectives 81

FIGURES

1. Personnel Preparation Program Logic Model 9
2. The Intended Relationship Among Program Objectives, Federal Strategies, Grant Activities, and Primary Foci of Competitions (FY86) 12
3. Overview of Implementation of Eight Federal Strategies 51
4. Overview of Emphasis on Federal Program Objectives 74

The Goal Evaluation Report

I. OVERVIEW OF THE PERSONNEL PREPARATION PROGRAM

For nearly 30 years without interruption, the federal government has authorized grants to support the preparation of specialized personnel to educate children and youth who are handicapped. The current program is administered by the Division of Personnel Preparation, Office of Special Education Programs (OSEP), Office of Special Education and Rehabilitative Services (OSERS), U.S. Department of Education. The program was originally authorized in 1970 under Part D of the Education of the Handicapped Act (P.L. 91-230). Known today as the Personnel Preparation Program, it is the largest discretionary program in OSEP.

Funding History

Since 1966, the Personnel Preparation Program has received total appropriations of over $800 million for the purpose of increasing the number of fully qualified persons that are available to provide education and related services to handicapped children and youth. Appropriations for the Personnel Preparation Program since 1978 are as follows:

1978	$45,375,000
1979	55,375,000
1980	55,375,000
1981	58,000,000
1982	49,300,000
1983	49,300,000
1984	55,540,000
1985	61,000,000
1986	61,250,000
1987	70,400,000 (authorization)
1988	74,500,000 (authorization)
1989	79,000,000 (authorization)

Legislative History

Throughout its history, federal legislation for the development of personnel to provide effective services to handicapped children and youth has been aimed at improving the quality and increasing the quantity of special educators and related services personnel.

The history of federal involvement in the preparation of personnel to work with the handicapped goes back to 1958, when P.L. 85-926 established grants to educate teacher trainers in mental retardation. Legislation during the 1960s expanded training grants to include teachers of all types of handicapped children. In the Elementary and Secondary Education Act (ESEA) Amendments of 1966 (P.L. 89-570), Congress added a new Title VI creating both a program of grants to the states to assist in the education of handicapped children and a distinct unit within the Office of Education--the Bureau of Education for the Handicapped.

In 1970, further ESEA amendments--which became known as the Education of the Handicapped Act (P.L. 91-230)--consolidated into one act a number of previously separate grant authorities relating to handicapped children. Part D of this act authorized appropriations for discretionary training grants through fiscal year 1973; Congress has subsequently reauthorized these grants on several occasions through fiscal year 1987.

Two additional pieces of legislation in the 1970s brought significant changes for the education of the handicapped. The Education Amendments of 1974 (P.L. 93-380) authorized a six-fold increase in entitlement (formula) funds (from $100 million to $600 million) to assist states in achieving the goal of providing full educational opportunities for all handicapped children in the public schools. The Education of All Handicapped Children Act of 1975 (P.L. 94-142), which has become known as a civil rights act for the handicapped, expanded the provisions of previous legislation with the purpose of ensuring a free, appropriate public education for all handicapped children between the ages of 3 and 21 by 1980. In order to bring about the integration of more handicapped children with nonhandicapped children in the regular classroom, the Act required the adequate preparation of regular education personnel to meet the needs of handicapped students.

In response to the passage of P.L. 94-142, BEH (now OSEP) established the training of regular educators as another priority area for funding projects under the discretionary grants program authorized by Part D of P.L. 91-230. P.L. 94-142 did not change Part D. However, it did expand the state grant program authorized by Part B and required states to submit plans for a

Comprehensive System of Personnel Development (CSPD). Under this provision, states are to provide needs-based training for both special educators and regular educators to ensure that teachers of the handicapped are appropriately and adequately prepared. (Staff in OSERS and OSEP acknowledge that much work remains before CSPD is fully functional.)

In 1979, under the Education Organization Act, a major reorganization occurred for the Bureau of Education for the Handicapped when it became part of the Office of the Assistant Secretary for Special Education and Rehabilitative Services--its current organizational placement.

Part D of the Education of the Handicapped Act has remained a cornerstone in the preparation of personnel for education of the handicapped for about two decades. Likewise, the broad goal of the Personnel Preparation Program has remained stable--to train more and better educators. Beyond that, many changes have occurred in program operation throughout the years. These have included the training audiences to be served; the content areas of the training; the type of training (preservice or inservice); the types of handicapped children that personnel are trained to serve; the institutions, organizations, or individuals that are eligible to receive training grants; the funding priorities; and so on.

Method of Operation

The Personnel Preparation Program is administered by the Division of Personnel Preparation (DPP) in the Office of Special Education Programs (OSEP) within the U.S. Department of Education's Office of Special Education and Rehabilitative Services (OSERS).

The Personnel Preparation Program provides financial assistance to institutions of higher education, state education agencies, and other appropriate nonprofit organizations (including parent groups) to conduct activities that will increase the supply and improve the quality of personnel who provide education and related services to handicapped children.

Financial assistance normally takes the form of grants awarded for up to three years, renewable annually. Grantees are institutions of higher education (IHEs), state education agencies (SEAs), or other appropriate nonprofit organizations, and individuals may receive financial support (e.g., student stipends) through a grantee.

The Personnel Preparation Program funds projects that may include (1) training of special education and related personnel to provide instruction and other services appropriate for any (or all) types of handicapped children, (2) information and training for parents or persons who work with parents, and (3) preparation of degree, nondegree, certified, and noncertified personnel.

The process of focusing program resources on critical needs includes these elements: (1) setting priorities, (2) announcing priorities and selection criteria annually for funding competition, and (3) reviewing and awarding grants. The number of announced priority areas has increased over the years. In FY86, OSERS announced 10 priorities for competition: (1) preparation of special educators; (2) preparation of related services personnel; (3) parent organization projects; (4) preparation of personnel to provide special education and related services to newborn and infant handicapped children; (5) preparation of leadership personnel; (6) special projects; (7) state education agency (SEA) projects; (8) preparation of personnel to work in rural areas; (9) preparation of personnel for minority handicapped children; and (10) regular educators. Not all published priorities need be announced for <u>new</u> grant competition each year; for example, the "transition" priority was not announced for new grant competition for FY86.

Appendix C provides a summary of the funding history for each competition area since FY83 for both new and continuation grants. The number to the left of each dollar amount is the number of applications funded.

Rationale for a Federal Role in Personnel Preparation

The following discussion provides a context for presenting the objectives of the Personnel Preparation Program, and the logic and assumptions underlying strategies the program uses to pursue these objectives.

Why is there a Personnel Preparation Program at all? Why not leave universities, states, and local education agencies (LEAs), or others entirely to their own devices to train personnel to provide education and related services to children and youth who are handicapped? Is there an appropriate role here for the federal government?

Looking at the larger context for the special education enterprise suggests these broad legal and strategic antecedents:

- The federal intent, according to P.L. 94-142, is to ensure a free, appropriate public education for all children who are handicapped.
- It follows that the federal government acts in ways to protect handicapped children's right to such education. For example, the federal government provides entitlements to states to help offset costs of educating all handicapped children (P.L. 93-380).
- This policy acknowledges that the burden of providing free and appropriate education programs for all children who are handicapped is too big for states and LEAs to shoulder without some federal assistance.
- But the federal government's motive is not entirely altruistic. Investing federal funds in special education acknowledges a national interest in seeing that these children achieve their potential for contributing to their own economic well-being, and for participating in their community, rather than being strictly on social welfare.

From these antecedents, the reasoning proceeds that these unserved and underserved children will not have this opportunity unless:

- There are sufficient <u>numbers of qualified</u> personnel specially trained to provide them the benefits of effective and appropriate education.
- The <u>quality</u> of such specialized personnel is sufficient to enable children and youth who are handicapped to attain their full potential for economic and social self-sufficiency.

- The capacity of the system* for personnel development is sufficient to meet the above demands for both quantity and quality of specially-trained personnel.

If left to its own devices, the reasoning goes, the system will not attain these three aims in a timely fashion nor in a comprehensive enough manner. It is assumed that:

- Special education personnel preparation programs in many universities do not attract sufficient numbers of individuals to justify costs for program development, improvement, and maintenance. This is particularly true for specialities that address unique needs of relatively small subgroups of the population of children and youth who are handicapped.

- The same assumption applies to preparation of personnel for emerging roles in special education.

- Without an external stimulus for doing otherwise, model program dissemination is likely to be limited geographically, and model developers are likely to focus narrowly. Thus, the potential for improving personnel preparation practice and, in turn, the quality of trained personnel, is limited.

- Universities will not attract and graduate adequate numbers and types of doctoral and postdoctoral leadership personnel to promote state-of-the-art practice in personnel preparation at all levels.

Therefore, external stimuli must be applied to hasten the system in contributing to the three aims and to shape the nature and quality of the system's response. In short, the appropriate role for the federal government is a catalytic one.

Continuing this line of argument, the federal government is in a uniquely advantageous position to stimulate the system to respond to current and emerging needs for appropriately trained personnel, model programs, curricula, information, etc. For example, the federal government can:

- Muster resources and information on behalf of the system as a whole.

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* This system includes existing and potential training providers, resource allocators, program developers, R&D institutions, information channels, etc.

- Provide a national perspective on current and emerging needs (at all levels) for particular types of specialized personnel, model programs, curricula, etc.

- Identify and encourage replication of state-of-the-art practices in personnel preparation.

- Maintain national visibility for special education personnel development (all levels).

Accordingly, the Personnel Preparation Program implements strategies that further the aims of increasing the quantity and improving the quality of personnel trained to serve children and youth who are handicapped, and of expanding the capacity of the system for personnel development. The next section discusses each of these strategies and the grant activities through which they are pursued.

Program Goal and Objectives

The ultimate goal of the Personnel Preparation Program is:

- To enhance education and related services for handicapped children and youth through the preparation of specialized personnel.

"Specialized personnel" means <u>any</u> personnel, including regular educators, who have the knowledge and skills necessary to deliver education and related services to children and youth who are handicapped.

Using the word "enhance" in stating this broad goal deliberately implies that:

- <u>Fully</u> achieving "free and appropriate public education" for handicapped individuals is beyond the direct control or resources of the federal government and, in turn, the Personnel Preparation Program.

- Appropriate roles for the program are complementary and catalytic ones, like stimulating new developments and new directions, making the "system" work better, and augmenting it, rather than substituting for that system.

To achieve its ultimate goal within these two caveats and those in the authorizing legislation and regulations, the Personnel Preparation Program directs its efforts to three "enabling objectives":

- Produce more qualified personnel to serve children and youth who are handicapped.
- Improve the quality of personnel trained to serve children and youth who are handicapped.
- Expand the capacity of the system for personnel development.

These objectives are within the direct control of the program. Therefore, they provide a useful starting point for examining program strategies, activities, and accomplishments in the present goal evaluation.

Program Logic

Figure 1 portrays the logic of the overall program. This figure shows the relationships among events that influence program design, implementation, and capacity to meet the goal and objectives. These events are described below.

Policy Inputs

Inputs to the program from federal sources include legislation and regulations, resources, OSERS priorities, and a variety of executive agency directives. Inputs from "the field" include information and expertise in the form of needs analyses and advice from constituencies.

Program Inputs

The above inputs support and help to shape a program of grants to eligible institutions and organizations. The grants are for projects in priority areas, selected annually for funding in consultation with federal officials and representatives of the program's constituencies.

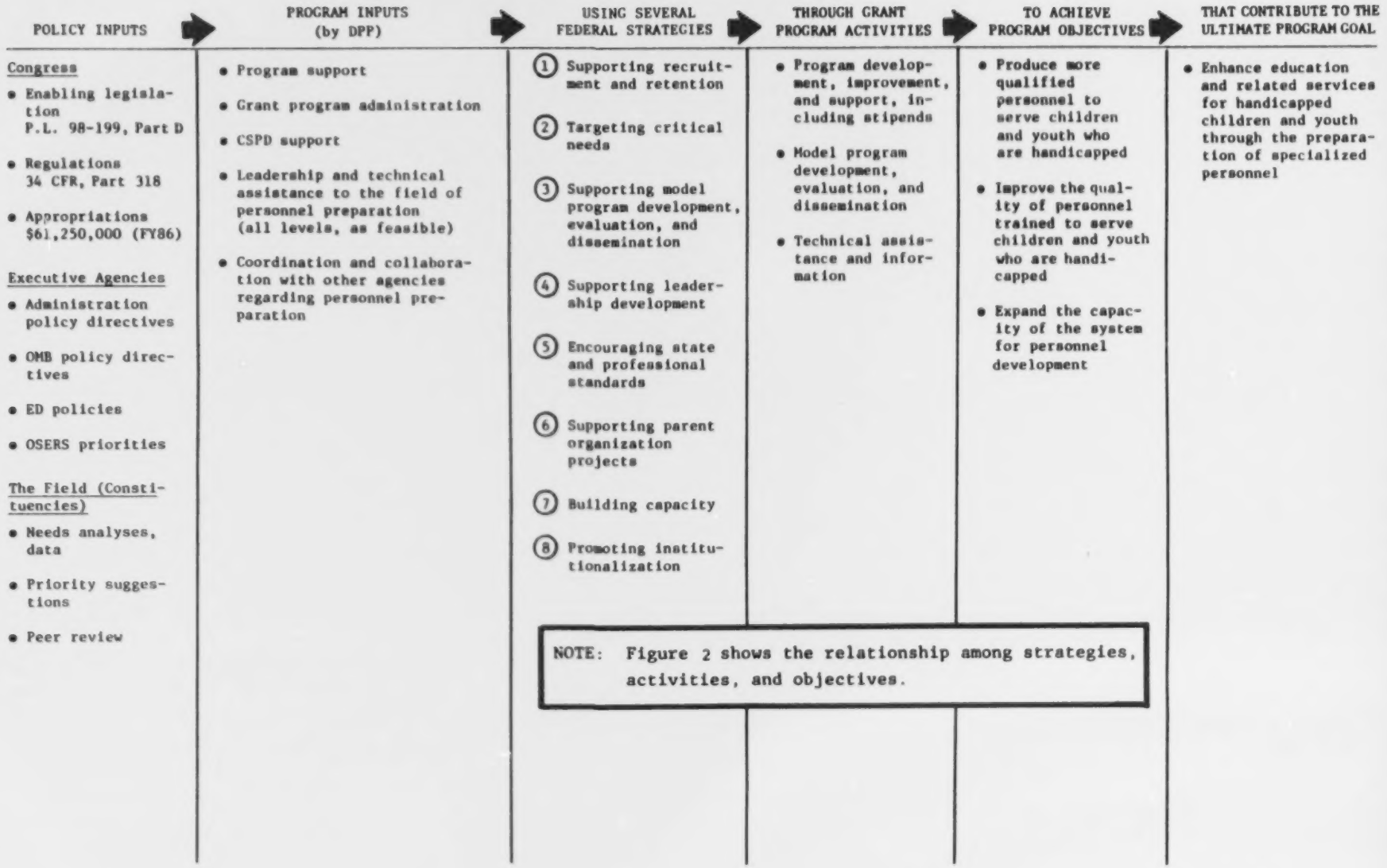
POLICY INPUTS
PROGRAM INPUTS (by DPP)
USING SEVERAL FEDERAL STRATEGIES
THROUGH GRANT PROGRAM ACTIVITIES
TO ACHIEVE PROGRAM OBJECTIVES
THAT CONTRIBUTE TO THE ULTIMATE PROGRAM GOAL
Congress
• Enabling legislation P.L. 98-199, Part D
• Regulations 34 CFR, Part 318
• Appropriations $61,250,000 (FY86)
Executive Agencies
• Administration policy directives
• OMB policy directives
• ED policies
• OSERS priorities
The Field (Constituencies)
• Needs analyses, data
• Priority suggestions
• Peer review
• Program support
• Grant program administration
• CSPD support
• Leadership and technical assistance to the field of personnel preparation (all levels, as feasible)
• Coordination and collaboration with other agencies regarding personnel preparation
1 Supporting recruitment and retention
2 Targeting critical needs
3 Supporting model program development, evaluation, and dissemination
4 Supporting leadership development
5 Encouraging state and professional standards
6 Supporting parent organization projects
7 Building capacity
8 Promoting institutionalization
• Program development, improvement, and support, including stipends
• Model program development, evaluation, and dissemination
• Technical assistance and information
• Produce more qualified personnel to serve children and youth who are handicapped
• Improve the quality of personnel trained to serve children and youth who are handicapped
• Expand the capacity of the system for personnel development
• Enhance education and related services for handicapped children and youth through the preparation of specialized personnel
NOTE: Figure 2 shows the relationship among strategies, activities, and objectives.

Figure 1. Personnel Preparation Program Logic Model

The Division of Personnel Preparation (DPP) administers the grant program, provides leadership and assistance to the field of personnel preparation, and (with other units in OSEP), reviews and identifies areas to be strengthened in the CSPD component of state plans. Actions taken and policies implemented by DPP are supposed to further the program goal and objectives. For example, each year DPP develops standards and procedures for reviewing new and noncompeting continuation applications. These guidelines, if adhered to, are expected to direct program resources to high-quality projects that will produce results which contribute to program objectives.

Strategies

The Personnel Preparation Program utilizes eight major strategies to attain its three objectives. The list below groups the strategies under the relevant program objective. The description of each strategy suggests how it is supposed to contribute to the program objective.

- Produce more qualified personnel through:

  1. Supporting recruitment and retention: Funding training grants will attract strong candidates who will prepare for, enter, and remain in careers in special education, and thereby increase the numbers of individuals specially trained to serve handicapped children and youth who are handicapped.

  2. Targeting critical needs: Directing program resources to personnel preparation efforts in areas of critical need will make available more of these types of qualified personnel.

- Improve the quality of personnel trained through:

  3. Supporting model program development, evaluation, and dissemination: Promoting the refinement and distribution of improved teaching methods of broad significance for the field of preservice and inservice personnel preparation (all levels) will (a) encourage replication of best practices by other training programs, leading to (b) improved quality of personnel trained in these programs.

  4. Supporting leadership development: Doctoral and postdoctoral preservice training of individuals who will go on to train teachers, do research, and administer programs will (a) encourage use of state-of-the-art methods in personnel preparation (all levels), leading to (b) improved quality of these personnel.

5. Encouraging state and professional standards: (a) Aiding efforts of accreditation agencies and professional organizations to develop appropriately rigorous standards for specialized personnel certification, and institutional and/or programmatic accreditation, and (b) requiring grantees to provide assurance that their institutions and proposed programs meet such standards, will promote improvements in personnel preparation programs that, in turn, will improve the quality of personnel trained.

- Expand system capacity through:

6. Supporting parent organization projects: Providing training and information to parents will help them influence the system to develop and exercise its capacity to meet the needs of their handicapped children.

7. Building capacity: Supporting and encouraging activities that increase the system's ability to meet local, state, and regional needs for trained and certified personnel, and for regular educators qualified to educate handicapped children and youth in least restrictive environments, will increase system capacity for personnel development (all levels).

8. Promoting institutionalization: Stimulating institutional commitments to sustain personnel preparation programs, that is, the system's capacity for personnel development at all levels, will encourage long-term support for these programs after federal support for them ends.

Grant Activities

Activities are carried out by grantees, with federal support. Figure 2 shows the relationship among federal strategies, grant activities, and program objectives. These major points are relevant to the two figures:

- The Personnel Preparation Program pursues the above federal strategies through activities that grantees carry out at the state, institutional, and local level. (These strategies and activities are the row and column labels, respectively, in Figure 2.)

- Thus, the grant programs are the primary mechanism for implementing federal strategies and legislative intent.

- It is possible to focus grant competitions (for selected priorities) to accommodate one or more of the strategies.

- The essential core of grantmaking activity is represented by the five clusters of primary activity depicted in Figure 2 (see Roman numerals in five cells).

PROGRAM OBJECTIVES/ FEDERAL STRATEGIES	GRANT ACTIVITIES		
	Program Development, Improvement, and Support, Including Stipends	Model Development, Evaluation, and Dissemination	Technical Assistance and Information
Produce more qualified personnel ... (1) Supporting recruitment and retention (2) Targeting critical needs areas	Special Educators ① ② Related Services ① ② Rural ① ② Infant ① ② Transition ① ② Minority ① ② I		
Improve the quality of personnel ... (3) Supporting model program development, evaluation, and dissemination (4) Supporting leadership development (5) Encouraging state and professional standards	II Leadership Projects ④	Special Projects ③ III	
Expand the capacity of the system for personnel development ... (6) Supporting parent organization projects (7) Supporting improvements in system capacity (8) Promoting institutionalization	IV Regular Educators ⑦ SEA Projects ⑦		Parent Organization Projects ⑥ V

Figure 2. The Intended Relationship Among Program Objectives, Federal Strategies, Grant Activities, and Primary Foci of Competitions (FY86)

Cell entries indicate the main emphasis of FY86* grant activity, by priority area. This is a gross classification. The purpose is to show, very generally, where the federal investment in grants is supposed to generate the most mileage toward one of the three objectives. The matrix conveys the expectation that, in aggregate, projects in a particular priority area (1) will contribute more to one program objective than to the others, and that (2) the means they implement will include the federal strategy(ies) "attached" to that objective.

Two of the eight strategies (5 and 8) are not attached to any priority area, but this does not imply that nothing is happening in grant projects to promote institutionalization and to improve standards. Neither do two empty cells in the row for recruit and retain (Strategy 1) and for targeting critical needs (Strategy 2) imply that the program is unlikely to attain its objective of increasing the numbers of qualified personnel available to serve children and youth who are handicapped.

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* These clusters might be constituted differently, depending upon how each competition area is defined for a particular fiscal year. For example, in the first year of funding for the Rural priority, the competition focus was model development (Strategy 3). Therefore, it would not be unusual today to find a continuation project in that priority area that emphasizes this strategy rather than teacher training (more relevant to Strategies 1 and 2).

Causal Assumptions

Explanatory statements in the above list of eight strategies strongly imply the cause-effect linkages between each strategy and one of the program objectives, and are not reiterated here.

Another set of assumptions relates to the grant activities through which these strategies are pursued. These activities (which are the column labels in Figure 2) and their related assumptions are as follows:

- Program development, improvement, and support, including stipends, will stimulate the system to produce more qualified personnel to meet current and emerging needs of handicapped children and youth, and will make such personnel available in a more timely fashion.

  Providing stipends to strong candidates for careers in special education will help dissuade them from investing in other career preparation options and will increase the likelihood that they will enter and remain in special education to provide services to handicapped children and youth, to train others, and to lead efforts to expand and improve the system for personnel development (all levels).

- Model development, evaluation, and dissemination of best practices will stimulate the field of personnel preparation to implement such exemplary approaches, which in turn will make available more high-quality personnel to deliver services to handicapped children and youth.

- Providing technical assistance and information to training providers, including parent organizations, stimulates improvements in training and system capacity that make available more personnel and parents who are able to provide effective education and related services to handicapped children and to interact effectively with the system on their behalf.

II. METHODOLOGY

Data collection for the goal evaluation of the Personnel Preparation Program took place during August, September, and October, 1986. Its purpose was to obtain information about the inputs, strategies, and grant activities that are being carried out and supported to achieve the federal program objectives that were described in the previous chapter.

The study team conducted detailed project reviews for a sample of projects selected to represent the essential core of the Personnel Preparation Program's grant activity. "Essential core" is defined as the five clusters of primary activity depicted in Figure 2 (Section I).

Data collection included reviews of a representative sample of 57 projects, selected as described below. Each member of the study team was responsible for a specified number of the projects selected, and for following a protocol (Appendix A) to complete project reviews. Each review assembled information on:

- the basic parameters of the project (e.g., focus, competition area, agency type, funding history, staffing);
- the nature of grantee activity and target groups, including institutional and state contexts, as appropriate;
- implementation of federal strategies through grantee activity;
- the intended logic of the project (e.g., the proposed linkages by which project activities will lead to the attainment of desired results, and the linkages by which grantee activity is intended to further the objectives and ultimate goal of the Personnel Preparation Program);
- any changes that have taken place in project plans since the latest grant award;
- evidence of project performance to date (e.g., personnel trained, models produced and disseminated, technical assistance provided);
- evidence of project institutionalization or system capacity building (e.g., extent to which federally funded activities will be picked up by nonfederal sources at the end of the project);
- permanent organizational changes that have occurred as a result of the project);

- major constraints experienced, addressed, and anticipated;
- the process by which the grant was negotiated and awarded and through which project performance has been monitored since award;
- implementation by DPP of other processes ("program inputs") that are related to the project and its competition area; and
- grantee and DPP staff perceptions of the extent and quality of federal "program inputs" that are relevant to the project and its competition area.

To obtain the above information, the reviewer consulted several sources:

- the initial program solicitation leading to the grant award (e.g., FY 1984 grants announcement);
- initial and continuation applications (e.g., FYs 1984, 1985, 1986, as available);
- technical review/evaluation and award documentation;
- monitoring reports if available;
- documentation of results of grant projects (e.g., data on the previous year's accomplishments which are appended to the beginning of a continuation application, or which may be described in it);
- products or deliverables from the grant project;
- telephone interview with the grant project director or principal investigator (75 minutes was the average length of an interview);
- telephone interview with the DPP competition manager; and
- literature and other selected sources that were relevant to the project or its competition area, to its institutional or state context, or to presenting findings of the goal evaluation for clusters of federal strategies and grantee activities. (Examples included the latest 1986 University of Maryland survey of special education personnel supply and demand, materials provided by the project officer for the Rand study of teacher supply-demand, Center for Statistics data summaries, and materials prepared by professional organizations or previous Personnel Preparation Program grantees that were relevant to CSPD activities in states and/or to improving the quality of personnel preparation programs.

As is apparent, project reviews were limited to secondary sources of information. Primary data collection was beyond the scope and resources of the goal evaluation (but will be possible during the strategy evaluation phase of the study).

A separate point is that, of all of the above sources, telephone interviews with project directors or principal investigators provided the most up-to-date information on project activities and accomplishments, and on the nature of supporting data that final performance reports were likely to contain. The study team did not go on site to examine project records, nor did the goal evaluation schedule and budget make it feasible to obtain independent third-party verification of information project staff conveyed in the interviews. However, the study team did check information the interviews provided against other secondary data (e.g., initial and continuation proposals, phone monitoring reports). There were no serious inconsistencies.

Sample Selection

A stratified sampling approach was used to be sure that each competition area was represented in the projects that could be reviewed. These strata corresponded to the competition areas ("priorities") for grants from the Personnel Preparation Program.

The numbers of projects to be sampled from each competition area were determined in consultation with DPP staff, according to the ease or difficulty of capturing the variability of projects considered to be "true" specimens within that competition. The sampling pool for each subsample was determined according to procedures described below. The pools and subsamples consisted of the following numbers of cases for each stratum:

	N in Subsample	N in Pool	%
Special Educators	9	83	10.8
Related Services	5	27*	18.5
Rural	5	15	33.3
Infant	3	12	25.0
Transition	5	18	27.7
Minority	3	8	37.5
Leadership	7	40	17.5
Special Projects	7	21	33.3
Regular Educators	4	**	
SEA Projects	4	**	
Parent Organization Projects (including the TAPP prime and one TAPP regional subcontract)	5	22	22.7
TOTAL CASES IN SAMPLE	57		

In general, the sample was drawn randomly from each stratum according to these three steps:

1. For each of the competition areas, continuations whose initial year of funding was FY 1984 were identified. This constituted the sampling pool.

2. Using a table of random numbers, subsamples were drawn from the pool in the quantities above, and additional random selections were drawn from which to replace cases, if this became necessary to achieve representativeness.

3. DPP staff reviewed selections, deleted anomalous ones, and replaced them in sequence from the randomized lists compiled in Step 2. Reasons for eliminating particular cases and for substituting others are summarized in Appendix D.

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* The 27 projects in the Related Services pool represented these specialists, or specialty areas: paraprofessional (N=9); therapeutic recreation (N=8); occupational therapist, physical therapist, nurse (N=4); career, employment habilitation (N=3); and school psychologist (N=3).

** See explanation for "Regular Educators/SEA Projects" on page 19.

Steps 1 and/or 2 were modified as follows to select projects from eight of the competition areas (priorities):

- Related Services (N=5). One project was randomly selected from each of five major occupational specialty areas* that were identified from scanning titles of FY86 continuations that were initially funded in FY84.

- Regular Educators/SEA Projects (N=4 each). The plan was to identify states that had both types of grants, and then to draw four of those states at random. However, only three states met this criterion. Because these three states ranged from small to moderate in size, the fourth project of each type was drawn from the largest state possible in each case.

- Parent Organization Projects (N=5). This subsample consisted of the TAPP prime contractor, one of the regional subcontractors, and three parent projects. The subcontractor was chosen at random, as were the three parent projects.

- Rural, Infant, Transition, Minority (N=16 in all). Only the "Transition" competition included continuations whose initial year of funding was FY 1984. However, about three dozen FY86 continuations under "Special Educators" appeared to focus on one of these four current priority areas, and were initially funded in FY 1984. (This was determined by reviewing with the DPP Director titles and GOO numbers of continuation proposals for Special Educators grants that are listed in the FY 1986 Grant Award Characteristics Report printout.) These projects constituted the sampling pool, augmented by adding continuations under the Transition priority whose initial year of funding was FY 1984, and continuations under the Rural priority whose initial year of funding was FY85. Then Rural, Infant, Transition, and Minority projects were drawn randomly from their respective subsets.

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* See footnote on previous page.

Rationale for the Sampling Approach

Given the limited resources for data collection in a goal evaluation, it is not possible to achieve statistical power however the sample might be constructed, for a program the size of the Personnel Preparation Program. In these circumstances, sampling is not intended to get some true population value, but is designed to yield ideas, insights, and understandings that will permit inferences about how federal strategies are implemented through various kinds of grantee activity, under what conditions, with what results, and with what implications for program plausibility and performance.

Therefore, the approach to selecting projects ensured that the sample:

- covered the various sets of projects (and agencies) that engage in a particular type of grantee activity and that represent one or more of the federal strategies of the Personnel Preparation Program;
- included projects that fit well in a given cluster or competition area;
- represented different types of grantee experience; and
- did not include anomalous selections.

Limiting sample selection to continuations funded originally in FY 1984 ensured that project reviews would have an opportunity to look at functioning operations for which there was a reasonable chance that outcomes, and reports of those outcomes, would have been produced. Restricting the sample to projects that were currently operating, and that began in FY 1984, also ensured that they would have been running long enough to have learned lessons from their implementation experience that would be very informative for the goal evaluation. Finally, better cooperation was expected from projects that were currently operating than from projects that had been completed or discontinued.

The rationale for selecting more projects from some competition areas than from others (e.g., 9 from Special Educators, 3 from Infants) was that it would have been harder to capture the variability of projects in some competitions than in other competitions.

Drawing continuation projects randomly from competition areas as a first pass at sample selection assumed that there was no reason to expect that certain types of projects would be seriously overrepresented or underrepresented in a particular competition area. The exception was Related Services personnel, for which the sampling procedure was modified (see above).

Providing for review by DPP staff of the randomly drawn subsamples to check for representativeness and to make purposive adjustments recognized that:

- there is variability within competition areas, and that a program manager is concerned with information at several levels (e.g., at the cluster(s) level, at the competition/priority level, and within the competition);
- since institutions of higher education (IHEs) may get multiple awards from the Personnel Preparation Program, the random draw could select several projects that are in a single IHE (and, in turn, a single department of special education);
- much of the variation in projects may be related to the size of an IHE's special education program, and the random draw may not achieve a desirable balance between large and small IHEs (and, in turn, special education departments); and
- to the extent possible, states represented in the sample should be geographically distributed to cover major regions of the country.

Data Collection and Analysis

Once an acceptable set of 57 projects was selected, the study team mailed letters to the grant project directors or principal investigators explaining why their cooperation was being sought, and began project reviews according to the protocol and instrument in Appendices A and B, respectively. File reviews and interviews were conducted on a confidential basis, and grantees were assured that the goal evaluation report would not identify specific projects for which findings were applicable.

The data base consisted of 56 completed project review instruments,* compiled by members of the study team according to the protocol, each coded with an identification number to facilitate assembling data within and across subsamples. To aggregate and analyze this very large compilation of information--some in narrative notes, some reduced to checklists--the study team followed the steps below.

Step 1. Identify prominent aspects of grantees' implementation of the eight federal strategies.

Each study team member reread the project review instruments they had completed for their particular set of assigned projects, and developed categories for individual projects that would capture prominent aspects of how that grantee had actually implemented one or more of the strategies. Although the study team did not have time to read each other's notes, or to conduct interrater reliability checks, they frequently discussed the categories they were developing, and agreed on wording that would facilitate eventual aggregation within and across subsamples.

The study team also worked out how to judge when a project did or did not fit a category, and if a strategy was or was not being "emphasized." This negotiation process was ongoing and represented a significant investment of thought and time. The rough ground rule was this. Strong elements of the federal strategy had to be evident from both of the following: (a) descriptions of specific efforts or activities that indicated how the strategy was being implemented (provided by the interviewee and project documents); and (b) supporting data or information that the project was collecting and was likely to include in its final performance report. Grantees, for example, frequently perceived that they were emphasizing model development, evaluation, and dissemination (Strategy 3), when in fact strong elements of this strategy were lacking (very little effort made with regard to model evaluation, dissemination, or both).

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* One of the 57 projects was dropped because available information was too minimal to include it in subsequent analyses. This project was among seven projects selected from the Leadership competition area.

Step 2. Identify project results and the nature of grantees' supporting evidence.

The procedure followed in Step 1 was also applied in doing Step 2. Notes in the project review instruments that described project accomplishments and data sources were reexamined to develop categories to describe (1) the specific nature of these accomplishments and (2) the type of supporting data that grantees were collecting and were likely to report at their project's conclusion. Again, study team members interacted frequently to refine their categories and to agree on conventions for judging whether a project fit a category.

Step 3. Prepare "Preliminary Data Summaries."

When the study team had completed Steps 1 and 2 for six of the eleven competition areas, they assembled the information for presentation to the work group. The purpose was to give them a preview of the quality and quantity of information in the data base for subsequent use in the plausibility analysis and in estimates of prospects for attaining program objectives.

Step 4. Summarize findings at all levels of interest to Personnel Preparation Program managers.

Working from the Preliminary Data Summaries (Step 3) for the partial sample, the task leader made a first cut at summarizing findings at three levels: for each competition area; for the predefined clusters of competition areas (the five filled cells in Figure 2); and across all (56) projects in the study sample. The summaries were in chart form, with columns left blank for the five competition areas that had not been included in the Preliminary Data Summaries.

After refining these draft charts in consultation with the study team, the task leader and the rest of the team filled in remaining data for their respective projects in the five remaining competition areas.

The task leader decided to lay out the findings this way to provide a picture that would be useful to federal program managers. DPP's director, branch chiefs, and competition managers are not only interested in findings

for the program as a whole, but also for units and subunits of the program (cells and competition areas).

Step 5. Use the data as the basis for assessing implementation of federal strategies, prospective program performance, and program plausibility.

a. Section III describes procedures used to analyze implementation of the eight federal strategies by projects in the study sample.

b. Section IV explains procedures used to make preliminary estimates of prospective program performance in attaining Personnel Preparation Program objectives.

c. Section V defines and describes the plausibility analysis.

Caveats

The remaining chapters in this report present the goal evaluation findings, draw conclusions from them, and propose areas that might be considered for further study during the strategy evaluation(s).

The study team tried to be judicious in its conclusions, bearing in mind the restrictions inherent in the methodology. These methodological reminders are reviewed now for the benefit of the reader, and the same points are repeated later in this report, where appropriate:

- The decision to draw the sample from "live" projects necessarily restricts the study to conclusions on prospective program performance, supported by data that projects are now collecting and are likely to present in their final performance reports.

- It is not within the scope of a goal evaluation to collect primary data on project accomplishments, or to capture all relevant perspectives. Project reviews rely on two major secondary data sources: initial and continuation applications in grant files, and interviews with project directors or principal investigators.* Although interviews were conducted on a confidential basis, and most interviewees seemed to be candid, it is possible that some relevant information was not communicated.

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* Third-party evaluations of grant projects were very rare. Where such secondary data were available, they were also included in the project review.

- The goal evaluation sample is small in proportion to the size of the program, although it is representative of the broad array of Personnel Preparation Program grant activities, and 6 of the 11 subsamples constituted between 25% and 37% of their sampling pools.

- Evaluation resources for this study did not permit data collection from third parties, such as consumers (agencies who utilize personnel trained and models or programs developed through grant activities). They could have indicated the extent to which these products are meeting their critical needs and are found to be high-quality, useful, and effective.

- The goal evaluation examines federal strategies as the Personnel Preparation Program perceived them, and grantees implemented them, in grant activities operating in FY86.

- This goal evaluation did not examine program management procedures per se, but it did try to determine whether intended major program inputs (see Figure 1 in Section I) occur at a level that supports program objectives and the federal strategies that are pursued to attain objectives.

III. PROGRAM IMPLEMENTATION

Introduction

One major purpose of the goal evaluation for the Personnel Preparation Program was to determine the extent to which federal strategies are actually being implemented through grant activities.

Figure 2 (Section I) indicated which strategies the federal program expects to be the primary emphasis of particular competition areas. These federal expectations allow for the fact that projects may emphasize strategies in addition to the primary one(s).

The following analysis of program implementation is pertinent to three columns of the logic model in Figure 1 (Section I):

- federal program inputs by the Division of Personnel Preparation (DPP) (Column 2); and
- strategies pursued through grant activities (Columns 3 and 4).

The order of presentation treats strategies first and federal inputs second. Each presentation addresses these questions:

What are grantees and DPP attempting with respect to these inputs, strategies, and activities?

What evidence do they claim to have that confirms that these processes are operating?

What are constraints on implementation?

Is there reasonably good alignment between intended and reported program operation?

Answers to these questions provide part of the basis for estimating the likelihood that the Personnel Preparation Program can achieve its objectives.

Before proceeding, the reader should have in mind the procedures the study team followed to decide whether a project was or was not "emphasizing" a particular federal strategy. These procedures (explained in the previous chapter) were as follows:

> The rough ground rule was this. Strong elements of the federal strategy had to be evident from both of the following: (a) descriptions of specific efforts or activities that indicated <u>how</u> the strategy was being implemented (provided by the interviewee and project documents); <u>and</u> (b) supporting data or information that the project was collecting and was likely to include in its final performance report. Grantees, for example, frequently perceived that they were emphasizing model development, evaluation, and dissemination (Strategy 3), when in fact strong elements of this strategy were lacking (very little effort made with regard to model evaluation, dissemination, or both).

Frequency counts for findings in the balance of the present chapter are duplicative; that is, a project could implement a particular strategy in more than one of the ways indicated in the text or tables.

Strategy 1: Recruitment/Retention

Review of Federal Expectations and Assumptions

In supporting <u>recruitment and retention</u>, the Personnel Preparation Program expects that grantees will attract strong candidates who will prepare for, enter, and stay in careers in special education, thereby increasing the numbers of individuals specially trained to serve handicapped children and youth. The relevant federal objective is to "produce more qualified personnel."

The major grant activities through which the Personnel Preparation Program pursues this strategy are "program development, improvement, and support (including stipends)." By providing these funds, the federal program expects to stimulate the system to produce more qualified personnel in a more timely fashion than would be the case without this extra incentive.

According to the relationships presented in Figure 2 (Section I), the Personnel Preparation Program expects that recruitment and retention will be a major emphasis of grants funded under competition areas in Cell 1.

Findings

All projects in the study sample for Cell I were judged to be emphasizing recruitment and retention. (The abbreviations below appear in the summaries of findings throughout this chapter. Ns are sample sizes, used in reporting frequencies for findings.)

Special Educators (SPED, N=9)
Related Services (REL, N=5)
Rural (RUR, N=5)
Infant (INF, N=3)
Transition (TRANS, N=5)
Minority (MIN, N=3)

Overall, these projects tried to recruit well-qualified candidates who demonstrated a strong interest in the area of need addressed by the grant. They offered stipends to attract strong candidates and relied on practicum experiences to promote retention and enhance commitment to special education roles. In some cases, candidates were already working in such roles and, therefore, committed. Few, if any, retention activities were required for such individuals.

In addition, all projects in Cell II (the Leadership competition area) emphasized recruitment. They recruited extensively at other universities, both in and out of state, used a variety of methods to promote their programs, and deemed stipends to be essential in attracting full-time, high-quality doctoral and postdoctoral candidates.

Projects in the Leadership subsample did not perceive a need to emphasize retention strategies, as such. They reasoned that if people have made it as far as a doctoral program, they are committed to careers in special education.

Table 1

How Grantees Implemented Recruitment/Retention (Strategy 1)

Description	Number of Projects (Cell I)					
	SPED N=9	REL N=5	RUR N=5	INF N=3	TRA N=5	MIN N=3
Recruited extensively, often at other universities, both in and out of state	3	1	4	3		2
Offered stipends to attract qualified trainees	8	4	3	3	4	1
Emphasized attracting strong candidates	4	5			3	
Recruited trainees from rural areas	1		5			
Promoted programs, increased awareness of needs area at conferences and workshops	4	1		2	4	
Assessed seriousness of candidates' interest in the needs area			3	3		
Emphasized practicum experiences to promote retention and enhance commitment to needs area	4		4	3		3
Routinely provided updated information on specific job openings in needs area						2
"Retention" activities not necessary; many students already in service roles and thereby committed	1	1			3	
Active recruitment of minorities	1				2	
"Recruitment/retention" activities minimal; jobs readily available in state for graduates of program					1	
Program staff serve as advocates for students to help them obtain jobs	1	1				
High reputation of program and university attracts students; recruitment minimal		1				

Grantees indicated that they have the following supporting data for this federal strategy:

- Numbers of candidates recruited
- Candidates' test scores and grade point averages
- Teacher/supervisor/administrator recommendations
- Selection criteria and protocols
- Reports from practicum supervisors
- Numbers of trainees who remain in special education after the program

Constraints

Major constraints on recruitment and retention were financial.

For projects in Cell I (SPED, REL, RUR, MIN, TRA, INF):

Stipend allowances were not necessarily a sufficient incentive for qualified candidates with financially attractive options.

This was a particular problem in recruiting qualified minority trainees.

Given insufficient stipends, trainees were likely to work during the day, take courses at night, and have difficulty keeping their grades up to expected levels.

Because of critical shortages, uncertified teachers are hired, and this reduces the incentive for potential trainees to enter certification programs.

"Minority" projects found that it was difficult to recruit minority trainees to geographical areas or universities where there were few minorities.

For projects in Cell II (LDR):

High tuition constrained how many candidates doctoral and post-doctoral programs could recruit.

In being very selective, doctoral and postdoctoral programs sometimes did not get as many qualified people as desired; if not, they intensified recruitment.

It was especially difficult to recruit strong minority candidates because these individuals have a lot of options.

Strategy 2: Targeting Critical Needs Areas

Review of Federal Expectations and Assumptions

The Personnel Preparation Program expects that directing program resources to training in areas of critical need will stimulate the field to prepare more of these types of personnel. The relevant federal objective is to "produce more qualified personnel."

The major grant activities through which the federal program pursues this strategy are "program development, improvement, and support (including stipends)." By providing these funds, the Personnel Preparation Program expects to stimulate the system to produce more qualified personnel to meet current and emerging needs of handicapped children and youth, and to meet these needs in a more timely fashion than would otherwise be the case.

According to the relationships presented in Figure 2 in Section I, the federal program expects that targeting critical needs areas will be a major emphasis of grants funded under competition areas in Cell I. This relationship, therefore, is identical to that assumed for Strategy 1 (Recruitment and Retention).

Findings

All projects in the study sample for Cell I were judged to be emphasizing targeting critical needs areas. Overall, these projects used a variety of data on needs to make a strong case for the grant's focus on a particular role, choice of training approach, and content of training. Even if the quality of a single data source improves (e.g., CSPD, annual state counts), grantees believe that it will continue to be necessary to use a variety of data sources in order to focus their activities with sufficient precision, and to make a sufficiently persuasive case for proposed activities.

Similarly, all other projects (Cells II through V) were targeting critical needs areas, and implementing this strategy in the same manner described above. That is, they selected and used data in ways that justified the major emphasis

of their proposed activities, whether these were to be program development and improvement, model development and dissemination, or training and technical assistance.

Table 2 shows the various sources that grantees used to document the critical needs that their projects proposed to address. In general, needs statements and supporting documentation were convincing, and reviewers in all competition areas frequently said they were among a proposal's strong points.

Evidence that suggests the extent to which grantees are implementing this federal strategy includes:

Excerpts in grant applications from a variety of data sources, including CSPD and other state data

Fit between proposed grant activities and documented critical needs areas

Constraints

The major constraint on targeting critical needs areas was the inadequacy or unreliability of any single data source for justifying the grantee's proposed project, focus, and approach.

CSPD information and states' annual counts were least useful for documenting needs for highly specific personnel specialties (e.g., in Related Services, Transition, and Infant competition areas), and for projects serving regional and national interests or needs, such as those submitted under the Leadership amd Special Projects competitions.

The quality, accuracy, and timeliness of information in states' CSPDs varied widely.

There were no central data bases relevant to preparing personnel to serve handicapped individuals in out-of-school settings (e.g., hospitals).

Equipment costs (e.g., several thousand dollars for "Versabraille") were a financial constraint for projects preparing personnel to meet the needs of some populations, such as blind, deaf, or multiply handicapped individuals.

Table 2

Data Sources Grantees Used to Document Critical Needs
That Their Projects Proposed to Address

Data Source/Description	Cell I						Cell II	Cell III	Cell IV		Cell V	Totals by Cell					Overall (N=56)
	SPED N=9	REL N=5	RUR N=5	INF N=3	TRA N=5	MIN N=3	LDR N=6	SPROJ N=7	REG N=4	SEA N=4	POP N=5	I N=30	II N=6	III N=7	IV N=8	V N=5	N
CSPD data and priorities	4	1	1	1	4	2		7	3	2	2	13		7	5	2	27
Extrapolation from CSPD data*							4						4				4
Other state data and priorities	9	3	2	1	4	2	5	7	4	4		21	5	7	8		41
Regional/national data and priorities	2	3	2	3	4	1	5	5	2		1	15	5	5	2	1	28
Local data and priorites	4	1	1	1	1	2	4	2				10	4	2			16
Literature	8	5	1	1	4		3	6	3	4	2	19	3	6	7	2	37
Experts' consensus	7			1		1	3	2			2	9	3	2		2	16
Professional organizations' survey data			1				1	1				1	1	1			3
University's (IHE's) survey data or other information			1		1		4					2	4				6
Accreditation organizations							1						1				1
Status of existing training opportunities			1			1		5		1		2		5	1		8
Potential consumers, e.g., potential employers of personnel trained; potential users of training models, materials, produced	7	1	1				2			2		9	2		2		13
Survey of employers of entry-level people <u>without</u> handicaps										1					1		1

* CSPD does not address needs for leadership personnel, only for direct service personnel. Needs for leadership personnel must be extrapolated from other data on teacher shortages/students served.

Time was another constraint. Interviewees frequently observed that it takes years to develop and refine personnel preparation programs to meet critical needs areas, and that grant staffs invest what one project director called considerable "out-of-hide" time in program development and improvement.

Uncompetitive salaries and unappealing geographical location were two problems (not amenable to training program interventions) in targeting critical needs areas.

Strategy 3: Model Development, Evaluation, and Dissemination

Review of Federal Expectations and Assumptions

In supporting model development, evaluation, and dissemination, the Personnel Preparation Program tries to promote refinement and distribution of improved personnel preparation methods that have broad significance for the field of inservice and preservice preparation. The assumption is that developing and disseminating exemplary practices will stimulate the field to implement the approaches, which in turn will make available more high-quality personnel to deliver services to handicapped children and youth. The relevant federal objective is to "improve the quality of personnel."

According to the relationships presented in Figure 2 in Section I, the federal program expects that model development, evaluation, and dissemination will be a major emphasis of grant activities in Cell III, the competition area known as Special Projects.

Findings

All projects in Cell III (the Special Projects competition area) were judged to be emphasizing model development, evaluation, and dissemination. Grantees reported that they emphasized this strategy in these ways:

Model development:

Incorporated new or innovative elements in their training models (7/7), which most frequently included:

cross-department, cross-agency, multidisciplinary, or total building staffing (5/7)

new information, new experiential activities (5/7)

videotape portrayals to convey informational, experiential, or emotional content (3/7)

Incorporated state-of-the-art practice, knowledge, and/or proven approaches in their training models (7/7), and typically identified such features by one or more of the following means:

lessons learned from earlier (pilot) efforts (4/7)

consultation by nationally recognized advisors, specialists, experts (4/7)

research-based literature on staff development in the appropriate needs area (3/7)

Developed training models as components of more comprehensive intervention models (5/7)

Model evaluation:

Obtained qualitative, subjective feedback from trainees, their supervisors, and project staff (5/7)

Emphasized formative evaluation in the context of the model's developmental tryout and revision (4/7)

Determined actual use of model practices after training (4/7)

Assessed trainee performance on pre-established, specific, behavioral competencies and training objectives (3/7)

Model dissemination:

Emphasized promoting awareness of the model training program (7/7)

Targeted a broad array of potential users and service delivery settings (7/7)

Emphasized staff development workshops for potential consumers of the model training program (4/7)

Conducted model demonstration/dissemination as part of the model's developmental tryout (4/7)

Targeted potential users in other states (3/7)

In addition, some projects in other competition areas were judged to be emphasizing model development, evaluation, and dissemination, according to the pattern noted above for Cell III:

Special Educators (2/9)
Rural (2/5)
Regular Educators (2/4)
SEA Projects (3/4)

Many more projects than the above would have counted themselves as emphasizing this federal strategy. However, the study team's criterion was that a project must prominently exhibit strong elements of the three aspects of the strategy. Many grants whose major activity was program development, improvement, or support did not meet that criterion, nor were they expected to.

Grantees indicated that they have the following supporting data for this federal strategy:

Model descriptions and materials
Consultant vitae
Description of experts' roles in development
Evaluation instruments and summaries
Lists of training objectives and competencies
Number, type, and reach of dissemination activities
Number and nature of implementations of models by others
Number of written requests for information, training

Constraints

Grantees encountered financial constraints in model development, such as very high costs for professional production of videotapes, and for computer equipment for trainees.

Model evaluation was hampered by the lack of agreed-upon professional standards for personnel who serve some target groups, e.g., infants and newborns, and the absence of valid and reliable quantitative measures of competence.

Model dissemination consisted of promoting awareness and demonstrating the model approach at workshops. Assistance to consumers in replicating models was not possible within the time and resources available for these three-year grants.

The study team also observed that, with very few exceptions, it was unlikely that grantees would be able with grant funds to package their models in a format convenient for widespread dissemination.

Strategy 4: Leadership Development

Review of Federal Expectations and Assumptions

By supporting doctoral and postdoctoral preservice training of individuals who will go on to train teachers, do research, and administer programs, the Personnel Preparation Program expects to encourage use of state-of-the-art methods in personnel preparation (all levels) which, in turn, should improve the quality of these personnel. Therefore, grant activities funded under the Leadership competition area are expected to contribute most to the second program objective.

The major grant activities through which the Personnel Preparation Program pursues this strategy are "program development, improvement, and support (including stipends)." By providing these funds, the federal program intends to stimulate the system to produce more high-quality personnel in a more timely fashion than would be the case without this extra incentive.

According to the relationships presented in Figure 2 in Section I, the Personnel Preparation Program expects that leadership development will be a major emphasis of grant activities in Cell II, the competition area known as Leadership.

Findings

All projects in the study sample for Cell II emphasized leadership development. Grantees reported that they implemented this strategy as follows:

Clearly specified the roles and functions to be performed by program graduates (6/6)

Incorporated state-of-the-art practices in leadership development (6/6)

Included coursework, practica, internship, and dissertation experiences in leadership training (6/6)

Program faculty served as mentors and models (6/6)

Students worked with faculty in a research "apprenticeship" (3/6)

Project-level data that support implementation of this federal strategy include:

Course and program descriptions

Student records of course completion, performance

Constraints

Grantees in the study sample did not indicate major constraints in implementing leadership development.

Strategy 5: State and Professional Standards

Review of Federal Expectations and Assumptions

This strategy was not expected to be a major emphasis of grantee activity. However, all applications to the Personnel Preparation Program for preservice training grants must provide assurance that "the proposed project meets State and professionally recognized standards." In this way, the federal program seeks to encourage improved training which will, in turn, improve the quality of personnel prepared through these programs.

Findings

A few projects in each of the following competition areas have undertaken activities that go beyond the "letter" of statutory requirements and suggest a forceful emphasis on state and professional standards as a strategy for improving the quality of personnel trained:

Special Educators (SPED, 3 of 9)
Related Services (REL, 3 of 5)
Transition (TRA, 1 of 5)
Leadership (LDR, 3 of 6)
Special Projects (SPROJ, 1 of 7)
Regular Educators (REG, 2 of 4)
SEA Projects (SEA, 2 of 4)

In all, these 15 projects represented seven competition areas in Cells I, II, III, and IV of Figure 2 (Section I).

Table 3 presents information on activities these projects have undertaken in a deliberate effort to promote state and professional standards. Project-level data that they claim will substantiate this emphasis include:

Assessment instruments that reflect standards
Monitoring forms that incorporate standards
Training content that is visibly and substantively consistent with standards

Grantees did not indicate major constraints in implementing this federal strategy, but in a couple instances commented that standards applicable to new or emerging fields or to new priorities have yet to be fully developed or widely accepted.

Table 3

Avtivities That Grantees Said They Undertook to Promote State/Professional Standards (Strategy 5)

Description	Number of Projects						
	SPED N=9	REL N=5	TRA N=5	LDR N=6	SPROJ N=7	REG N=4	SEA N=4
Used professional standards as guidelines for training or for model development	1	3	1	3	1		
Used state standards as guidelines for model development, or for preparing personnel for certification	2		1	1	1	1	1
Faculty members or project staff served on boards of standards-setting agencies or organizations	2	2		1	1		
Competencies specified in program model will be incorporated in the monitoring form SEA uses to review university-level special education personnel preparation programs						1	1
Program competencies served as model for professional guidelines for training	1						

NOTE: All grantees supplied the required assurances in their applications that their projects would meet appropriate state/professional standards. But to be counted for this table, grantees reportedly made more vigorous efforts to promote or strengthen standards.

Strategy 6: Parent Organization Projects

Review of Federal Expectations and Assumptions

In supporting parent organization projects, the federal program expects that grantees will provide technical assistance and information to training providers, including parent organizations, that will help parents (and persons who assist them) interact effectively with the system on behalf of their handicapped children. The assumption is that effective interactions will stimulate the system to develop and exercise its capacity to meet the needs of handicapped children for free, appropriate public education and related services. The relevant federal program objective is to "expand system capacity."

According to the relationships presented in Figure 2 in Section I, the Personnel Preparation Program expects that providing such technical assistance and information will be a major emphasis of grants funded under the Parent competition area in Cell V.

Also included in Cell V is the Personnel Preparation Program's only contract, Technical Assistance to Parent Projects (TAPP), through which parent projects receive help in designing and implementing their activities from one prime contractor and four regional subcontractors.

Findings

All projects in Cell V* emphasized the parent organization projects strategy, in the ways described below.

Both the TAPP contractor and subcontractor in the sample report that they:

- Linked parent projects/groups to resources they needed
- Worked with parent projects/groups to assess needs, resources, capabilities, and to help plan activities

---

* The Parent subsample (N=5) included three grant projects, the TAPP contractor, and one of TAPP's regional subcontractors.

Emphasized equipping parents to assess needs and to develop appropriate interventions, related training, and assistance

Emphasized peer support to sustain, reinforce parents' special education role and to motivate parents to increase involvement

Emphasized networking to encourage exchange of information

Emphasized identification and dissemination of effective training strategies at national and regional conferences, in newsletters

The grant projects (N=3) in the study sample each reported that they:

Provided parents with information on their handicapped children's educational rights

Provided parents with information on the educational system's responsibilities

Trained parents to work with educators and others to develop IEPs for their children

Trained parents in effective strategies for working with the educational system on behalf of their handicapped children

Provided "stipends" (for child care and transportation) to increase parent participation

Used a variety of strategies to recruit parents and volunteers

Used a variety of strategies to inform the public, school systems, and local and state agencies about handicapped children's educational rights and about the educational system's responsibilities

Emphasized peer support to sustain, reinforce special educational role, and to motivate them to increase their involvement

Emphasized networking to encourage exchange of information

Used experts to stimulate, sustain parents' interest and positive attitudes

Project-level data that support implementation of this federal strategy include:

Individualized Technical Assistance Plans (ITAPs)

Records of training and technical assistance provided

Records of information provided

Independent evaluation of TAPP contract

Monographs, brochures, handbooks produced
Numbers and types of parent programs developed, improved
Documented cases of parent interactions with system
Evaluations of two of the three project's training approaches

Constraints

Projects had greatest difficulty reaching minority and rural parents, and different strategies were required to attract these target groups.

Geographical distances for rural parents made transportation to workshops an almost insurmountable problem.

Having only one POP grant in most states, and very few grants in the largest states, makes it impossible to address needs of parents in an adequately comprehensive way.

Unresolved Issue

POP grantees differ in opinion as to whether their objective should be to train trainers of parents, or to train parents directly. Projects report that training trainers is more economical because it requires a less individualized approach than is the case in training parents to use effective strategies in interacting with the educational system on behalf of their children.

Strategy 7: System Improvements

Review of Federal Expectations and Assumptions

The Personnel Preparation Program supports system improvements by funding program development and improvement activities that it expects will increase the system's ability to meet local, state, and regional needs for trained and certified personnel, and for regular educators qualified to educate handicapped children and youth in least restrictive environments. The assumption is that funding such grants will stimulate the system to improve its capacity for

personnel development (all levels) in a more timely fashion, and in a more comprehensive manner, than would be the case without this extra incentive. The relevant federal objective is to "expand system capacity."

According to the relationships presented in Figure 2 in Section I, the Personnel Preparation Program expects that system improvements will be a major emphasis of grant activities in Cell IV, that is, the competition areas known as Regular Educators and SEA Projects.

Findings

All projects in the study sample for Cell IV were judged to be emphasizing system improvements. (The abbreviations below appear in the summary table. Ns are sample sizes, used in reporting frequencies of findings.)

Regular Educators (REG, N=4)
SEA Projects (SEA, N=4)

The two most frequently reported system improvements that these projects claimed to have promoted include collaborative planning and intervention on behalf of handicapped children, and preparing trainees who would return to their sites to train others to implement model practices.

Grantees attributed much of their success in enhancing system capacity to having been able to involve key institutional decision makers in program development, review, or promotion, and to the fact that project participants (e.g., regular classroom teachers, special education teachers, parents, building administrators) now shared a language, approach, and philosophy that facilitated their team efforts.

Table 4 presents information on how these projects implemented the system improvements strategy.

Table 4

How Grantees Implemented System Improvements (Strategy 7)

Description	Number of Projects (Cell IV) REG N=4	SEA N=4
Emphasized collaboration, teaming as a mechanism for improving capacity of system to assess/address needs of handicapped children	4	4
Prepared trainees to provide permanent capacity at their sites, or in their regions, for training others to implement program model	4	4
Provided participants with a common language, approach, approach, and philosophy to facilitate team approaches	4	3
Involved key institutional decisionmakers in program development, review, or promotion	4	1
Emphasized developing "partnerships" in which special educators and regular educators take joint responsibility for developing instructional alternatives that can be implemented in regular classrooms	2	1
Field-tested state's draft of pre-referral guidelines in the course of grant activity	2	
Disseminated statewide training model to other states across the country		1
Prepared building staff (all levels) and parents to assess needs and to develop appropriate, "locally owned" interventions and related training or assistance	1	

In addition, 29 projects (representing 8 competition areas in Cells I, II, III, and V) were judged to be emphasizing system improvements in conducting grant activities:

Special Educators (3/9)
Related Services (3/5)
Rural (1/5)
Transition (4/5)
Minority (2/3)
Leadership (5/6)
Special Projects (6/7)
Parent Organization Projects (5/5)

These additional projects reported a wide array of system improvements, but the most prominent include those highlighted above: establishing new collaborative arrangements and providing permanent training capacity.

Other prominent examples of the system improvements they reported were developing "locally-owned" staff development models, expanding or establishing libraries and computer labs, convincing SEAs to support statewide dissemination after grants end, and convincing grantee institutions (IHEs) to incorporate special education courses or programs developed under the grant in their personnel preparation programs.

Project-level data that support implementation of this federal strategy include:

Self-reports of project staff
Training materials
Numbers, types, levels of personnel preparation programs developed

Constraints

The two major constraints on implementing system improvements were time and money:

> It takes time to get teachers expert enough in a new approach to have the ability to fully implement it, and to train others to replicate it.
>
> Funding cuts are forcing stiff competition for states' special education funds, making it difficult to win support for system improvements that are tangential to states' current, specific priorities (e.g., autistic children).
>
> The above financial constraint is a special problem for related services/roles that are not identified "required."

Historical turf problems and institutional inertia were also identified as constraints on implementing system improvements.

Strategy 8: Institutionalization

Review of Federal Expectations and Assumptions

This strategy was not expected to be a major emphasis of grant activity. However, the federal hope is that grant activity will stimulate institutional commitments for long-term support for these programs after federal support for them ends.

Findings

Some projects in the following competition areas claim to have stimulated institutional commitments that appeared to satisfy the criterion of "likely long-term support":

Special Educators (4/9)
Rural (1/5)
Regular Educators (3/4)
SEA Projects (3/4)

These long-term commitments took a wide variety of forms, which did not suggest an overall pattern and did not favor a particular competition area or cluster of projects. These are examples:

> Expanded scholarship policies to fund students who are committed to program area
>
> Secured IHE support for interdepartmental training programs
>
> Obtained verbal assurances from IHE and state to maintain undergraduate training program, or incorporate model courses into preservice personnel preparation
>
> Established a permanent statewide training network
>
> Will soon be rule (with force of law in this state) that regular educators must try model's approach before referring a student to the special education teacher, and that building administrator is accountable for enforcement
>
> State will support staff to do statewide inservice training in model approach

Project-level data that support implementation of this federal strategy include:

- Self-reports of project staff
- Institutional agreements
- Written policies/procedures

Constraints

Grantees did not mention specific constraints on implementing institutionalization. However, there are undoubtedly problemmatic circumstances, which could include most of the constraints related to Strategy 7, system improvements.

Summary of Findings on Implementation of Federal Strategies

The following summary recapitulates highlights of findings for the implementation of federal strategies through grant activities.

The Personnel Preparation Program expects to be able to emphasize particular federal strategies through grant activities in certain clusters of projects. The relationships among program objectives, federal strategies, and major types of grant activity were originally shown in Figure 2 (Section I). Figure 3 on the next page summarizes what the goal evaluation found to be the actual implementation pattern (as reported by grantees), using dotted lines to show expected primary emphases and solid lines to show actual (multiple) emphases.

As Section I explained, the gross classification that associates particular competition areas with one (or two) federal strategies is not intended to suggest an exclusive emphasis, but to portray the federal program's strategic plan very generally. The Personnel Preparation Program fully expects that, in aggregate, projects in particular competition areas and cells will implement strategies in addition to the one(s) shown as their primary emphasis in Figures 2 and 3.

Projects in the study sample did appear to be implementing strategies in addition to the emphasis that was specifically expected for their competition area. Table 5 provides a frequency distribution for implementation by the study sample of each of the eight federal strategies: by competition area, cell, and overall. The frequency distribution in Table 6 shows the number of projects emphasizing each major type of grant activity that the Personnel Preparation Program supports: program development, improvement, and support (including stipends); model development, evaluation, and dissemination; and technical assistance and information.

The following summary relates the above information (in Tables 5 and 6) to the relationships originally portrayed in Figure 2 (Section I).

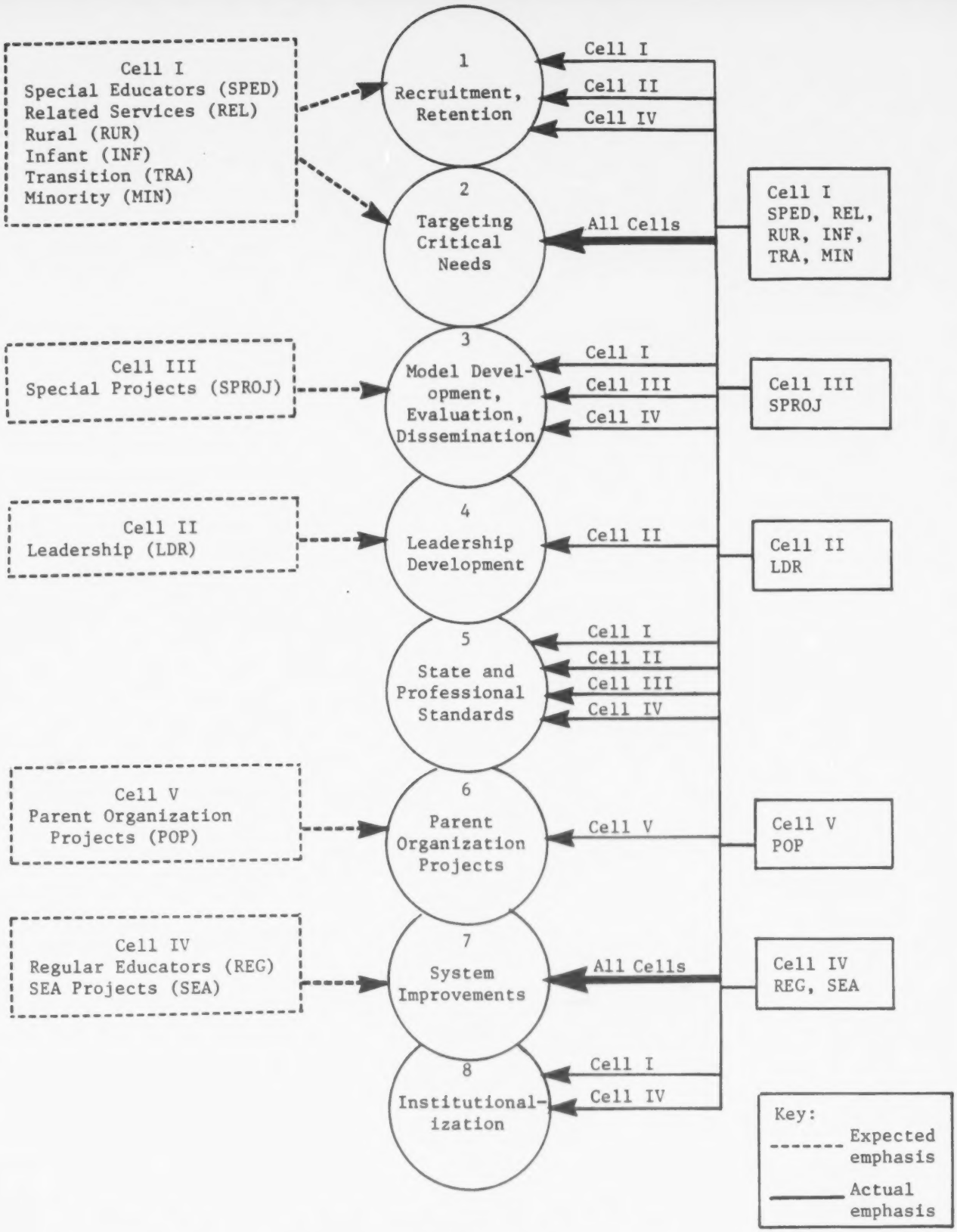

Figure 3. Overview of Implementation of Eight Federal Strategies

Table 5

Projects Judged to Be Emphasizing Particular Federal Strategies

NOTE: The numbers at the intersections of rows and columns indicate the number of projects judged to be emphasizing the strategy in the far left column.*

Strategy	Cell I SPED N=9	REL N=5	RUR N=5	INF N=3	TRA N=5	MIN N=3	Cell II LDR N=6	Cell III SPROJ N=7	Cell IV REG N=4	SEA N=4	Cell V POP N=5	Totals by Cell I N=30	II N=6	III N=7	IV N=8	V N=5	Overall N=56
1. Recruitment/Retention	9	5	5	3	5	3	5			1		(30)	5		1		36
2. Targeting Critical Needs Areas	9	5	5	3	5	3	6	7	4	4	5	(30)	6	7	8	5	56
3. Model Development, Evaluation, and Dissemination	2		2					7	2	3		4		(7)	5		16
4. Leadership Development							6						(6)				6
5. State/Professional Standards	3	3			1		3	1	2	2		7	3	1	4		15
6. Parent Organization Projects											5					(5)	5
7. System Improvements	3	3	1		4	2	5	6	4	4	5	13	5	6	(8)	5	37
8. Institutionalization	4	1							3	3		5			6		11

(N) Indicates the part of the Personnel Preparation Program that program logic associates with the strategy in the far left column. Also see Figure 2 in Section I.

* The ground rule for judging that a project was "emphasizing" a particular strategy was this. Strong elements of the strategy had to be evident from both of the following: (a) descriptions of specific efforts or activities that indicated how the strategy was being forcefully implemented (provided by the interviewee and project documents); and (b) supporting data or information that the project was collecting or was likely to include in its final performance report. Examples:

1. Grantees were not counted as emphasizing model development (Strategy 3) if strong elements of this strategy were lacking (e.g., relatively little effort invested in evaluating and revising approaches and materials.
2. All grantees met the statutory requirement for assurances in grant applications that their projects would meet appropriate state/professional standards, but projects were not counted as emphasizing Strategy 5 unless they reported vigorous or extraordinary efforts to promote or strengthen state or professional standards.
3. To be counted for system improvements (Strategy 7) and institutionalization (Strategy 8) grantees, reported that the change or improvement had moved from the hoped-for or trying-for stage to reality, and had supporting evidence.

Readers who desire more information on how judgments were made should review the Data Collection and Analysis segment of Section II, and the discussion and definition of each strategy in the present section.

Projects typically emphasized more than one strategy. Therefore, column totals will not necessarily match Ns for subsamples, and the last column will not add to the overall sample size of 56.

Table 6

Projects Judged to Be Emphasizing Major Types of Grant Activity

NOTE: The numbers at the intersections of rows and columns indicate the number of projects judged to be emphasizing the grant activity in the far left column.*

Type of Grant Activity	Cell I						Cell II	Cell III	Cell IV		Cell V	Totals by Cell					Overall
	SPED N=9	REL N=5	RUR N=5	INF N=3	TRA N=5	MIN N=3	LDR N=6	SPROJ N=7	REG N=4	SEA N=4	POP N=5	I N=30	II N=6	III N=7	IV N=8	V N=5	N=56
(New) Program Development*	3	3		1	2	2			3	3		11			6		17
Program Improvement*	5		5	1	2	1	4		1	1		14	4		2		20
Program Support (includes stipends)* Expectation: Projects in Cells I, II, and IV would emphasize one or more of the above.	8	5	3	3	5	1	6					25	6				31
Model Development, Evaluation, Dissemination Specifically expected of: Projects in Cell III								7						7			7
Technical Assistance and Information Specifically expected of: Projects in Cell V											5					5	5

* Projects that emphasized providing stipends may also be counted in the program development or improvement categories. Therefore, column totals will not necessarily match Ns for subsamples, and the last column will not add to the overall sample size of 56.

All projects in competition areas that are specifically expected to contribute most to the objective of "producing more qualified personnel" appeared to be implementing strategies and activities that the Personnel Preparation Program expects are important for achieving this objective: recruitment/retention, and targeting critical needs. To a lesser extent, they also implemented strategies that program logic associates with the other two program objectives. These additional strategies included promoting state/professional standards through their program development and improvement activities, and facilitating system improvements.

All projects that are specifically expected to contribute most to the objective of "improving the quality of personnel trained" (i.e., projects in the Leadership and Special Projects competition areas) appeared to be implementing the strategies and activities that the Personnel Preparation Program expects will contribute to this objective (i.e., model development, evaluation, and dissemination; and leadership development). In addition, projects in both of these competition areas also targeted critical needs and stimulated system improvements, and Leadership projects also emphasized recruiting strong candidates for doctoral and postdoctoral programs, strategies associated with the other two program objectives.

Finally, projects in competition areas associated with the objective of "expanding system capacity" appeared to be emphasizing strategies that program logic links to this aim. In addition, they targeted critical needs (a strategy associated with the first program objective). Projects in the Regular Educators and SEA Projects competition areas in addition emphasized model development and state/professional standards, two strategies linked to the third program objective.

In summary, projects in the study sample implemented strategies expected to be their primary emphasis and, in addition, emphasized one or more additional strategies. Because the sample was representative of the variety of grant activities funded by the Personnel Preparation Program, the prospects are good for maintaining broad support for these federal strategies among grantees.

Federal Program Inputs by the Division of Personnel Preparation (DPP)

Introduction

The Personnel Preparation Program is implemented, in part, through federal program inputs by the Division of Personnel Preparation (DPP). DPP inputs are pertinent to Column 2 of the Program Logic Model in Figure 1, Section I. (The other part of program implementation, strategies pursued through grant activities, was discussed above.)

The analysis of program implementation seeks to answer specific questions. These questions are stated at the beginning of the chapter. The questions are reworded here for the discussion of DPP inputs:

To what extent are the intended inputs actually occurring?

How does this help/hinder federal program objectives?

What might be done to improve these processes to better support federal strategies and objectives?

The goal evaluation relied on three major data sources for the analysis of DPP inputs:

(1) Two rounds of interviews at the federal level--

  (a) DPP Director, Branch Chiefs, Competition Managers, staff in other OSERS divisions, OSERS Deputy Assistant Secretary and staff*

  (b) DPP Project Officers for projects in the study sample

(2) Interviews with grantees in the study sample (as consumers of DPP support, assistance, leadership, etc.)

(3) Program documents, including grant announcements for FY84 through FY87; technical review/evaluation plans for FY84 and FY86 application reviews; grant award documentation, including justifications for disapproving and approving recommendations of peer review panels; telephone monitoring reports in grant files

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* See Appendix E for the list of persons interviewed at the federal level.

for projects in the study sample; and internal and interagency communications (e.g., prominent in the latter category were memos to the Grants and Contracts Services [GCS] to expedite stalled GCS decisions on grant matters and to forward to DPP stalled copies of grantees' final reports).

Findings are presented under four major headings: (1) Grant Award Process; (2) Grant Administration; (3) Leadership; and (4) Coordination/ Collaboration. In aggregate, the findings under these headings summarize the nature of DPP inputs that were listed in Column 2 of the Program Logic Model (see Figure 1, Section I).

Each of the four sections addresses the three questions stated above under the subheadings of Findings, Constraints, and Recommendations. The analysis reflects both federal and field perspectives, and draws from all three of the above data sources.

Grant Award Process

The grant award process refers to all the activities DPP undertakes to provide grants to eligible institutions and organizations for projects in priority areas, selected annually for funding in consultation with federal officials and representatives of the program's constituencies. These activities include setting priorities, announcing priorities and criteria for grant competitions, and reviewing and awarding grants.

Findings. Both federal-level and field personnel agree that overall the grant award process is a very fair one. It is the distillation of processes and procedures that have been used over the years with successive improvements. The process seems to be as good for one competition as for another. Formal guidelines for the review process are held to and give credibility to the process.

Beyond any specific process, grantees emphasize the extremely important role of federal grant dollars in the success of their programs: grant funds have significantly facilitated improvements in and expansion of their programs; stimulated cross-department and cross-disciplinary arrangements that have

improved institutional capacity; enabled them to take the next logical step sooner in incrementally improving their personnel development activities (all levels).

Funding priorities. Priorities for funding seem to evolve from a number of sources. Legitimate pressure comes from Congress, the Secretary's (OSERS) office, constituencies, even OMB. Some federal staff express serious concern that often these priorities are not related to data on critical shortages of personnel, areas of need(s), or an overall, long-range plan. Funding levels vary from year to year, and what gets funded appears to many to depend on the current "hot issues." In focusing funds over the years, the pendulum has swung from general to specific priorities and back again.

Aside from priorities that DPP announces for competition, many grantees in the study sample see funding students (rather than faculty) as the priority. They point out that private universities need grants to survive in terms of quality, that is, to be able to attract strong candidates is critical. Financial assistance allows them to go to school full-time, thus contributing to their quality preparation. Grantees commented on the constantly increasing cost of going to graduate school (and the cost of living), and hope that becoming well qualified will not become a matter of affordability.

Application reviews. DPP must ensure that the best-qualified people review the grant applications, and that specific criteria are adhered to in selecting applications for funding. A DPP staff member serves as monitor of the review panel, seeing that all procedures are followed appropriately. Formal contracting and paperwork processing is handled by another unit within the Department of Education, Grants and Contracts Services (GCS).

Grantees comment that the federal application package is clear and easy to follow and that it continues to get clearer and more helpful each year. They see it as particularly helpful now that the evaluation criteria and program guidelines match. (Grantees are experienced grant writers for the most part, and some have served on review panels themselves. They note that a novice might have difficulty working with the application package. Although it is very clear, it is also very long and bureaucratic.)

Constraints. Many constraints on the application process are circumstances beyond the control of DPP: GCS, timelines, amount of personnel, funding levels.

GCS.* DPP staff and grantees commonly cite GCS as one of their biggest problems in implementing their programs. Mutual concerns about GCS include the following:

> GCS is sometimes months late in processing the paperwork after the grantee has been notified of the award. Because grantees cannot begin work without a written contract, they are delayed in all their activities. Recruitment activities (for faculty and students) are particularly affected. Starting late may also mean requests for budget carryovers at the end of the grant period.
>
> GCS does not necessarily respond to DPP requests. Grantees, too, comment on the numerous telephone calls they make and letters they write to get a single response from GCS.

Timelines. DPP staff and grantees comment on restrictive timelines that affect both their activities:

> DPP may be notified late of their funding level and, as a result, have very short notice to assemble review panels. Contacting and scheduling reviewers requires adequate lead time.
>
> The timeline between the date of a grant announcement and the deadline date for receipt of applications may be so short that applicants are not able to write about their new ideas. The concern is that an inadequate amount of time allotted for the preparation of applications hinders creativity and fosters mediocrity.

Personnel and funding. DPP staff point out that the bottom line is the amount of personnel and the amount of dollars available to do the work that has to be done. Both DPP and GCS seem clearly understaffed and underfunded to do the work expected of them. As a result, DPP spends most of its

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* For the readers' clarification, the "grants negotiator" is the GCS contact for grantees.

time "up front" on the grant award process, with little time left for administration, leadership, and interagency coordination/collaboration. Grantees are understanding and sympathetic with DPP, however, for whom they express strong satisfaction in the quality and utility of the contacts they do have, although infrequent.

Other constraints on the grant award process over which DPP may have some control include the composition of the review panel and the review of critical needs for funding.

Composition of review panel. Many DPP staff and grantees argue strongly for the merits of a review panel composed of both internal and external reviewers. The concern is that quality and representativeness may be compromised by limiting panels to only internal reviewers, which has been proposed as a cost-saving measure. Some grantees have noted a drop in the quality of the review process, and have questioned whether reviewers have expertise in the areas their applications address. They wonder if only "insiders" are serving on review panels. Considerable confusion seems to exist in the field about who reads applications and how the readers are chosen.

Review of critical needs. Some DPP staff have pointed out that the only "needs" information considered in funding grants is the information presented in the grant applications themselves. DPP has no means to verify this information nor to correlate it with more global, regional needs. Very often grant applicants reference their state's annual data and information in the state's comprehensive plan for personnel development (CSPD), if this is relevant to the particular training audience under consideration. However, information in both sources varies in quality and comprehensiveness from state to state. Moreover, states typically do not collect data on critical needs for doctoral-level personnel or certain categories of related services, nor are state data particularly relevant to parents of handicapped children and youth.

Overall, the reality is that DPP either gets no data, insufficient data, conflicting data, or unverifiable data on "critical needs." Some grantees comment that DPP does not have enough money to meet all the needs anyway, and, that one critical area is therefore funded at the expense of another.

Recommendations. Recommendations coming from DPP staff and grantees to deal with some of the constraints operating on the grant award process include the following:

GCS

Set up procedures and systems that expedite grant processing.

To the extent possible, provide for additional personnel in DPP and GCS to alleviate many of the problems.

Implement joint training for OSEP and GCS staffs with the goal of improving operating procedures.

Inform grantees where they can go for help when GCS is slow and unresponsive.

Timelines

To the extent possible, coordinate timelines with those of the IHEs:
--Start the grant award process earlier in the year.
--Stretch out timelines for continuation awards.

To the extent possible, (a) release grant announcements earlier in order to (b) receive applications earlier (c) so that DPP can select the types of field reviewers needed.

DPP should develop a long-term plan (e.g., a ten-year plan) and communicate projections to the field. IHEs need more lead time to prepare to be responsive.

Composition of Review Panel

Maintain the involvement of external reviewers. It is important for accountability purposes to have that expertise and objectivity.

Provide for a broader base of people in the pool of reviewers and a quicker system to verify their credentials.

Make clear to the field how the readers are chosen, who reads the applications, and how reviews are conducted.

Review of Critical Needs

Provide DPP with an independent source of reliable information on needs. (Developing such a source is beyond any single OSEP division's capacity or responsibility.)

The above recommendations, if acted upon, would strengthen federal inputs (by DPP) in ways that would better support the strategies it pursues, through the Personnel Preparation Program, to attain program objectives.

Grant Administration

Grant administration refers to the system for keeping track of grant activity. Its aims are to determine what has been produced with the federal funds invested in grant projects, increase grantees' sense of accountability, and involve DPP staff in coordinating various activities. Grant administration also occurs through GCS on contractual and budgetary matters. Although administration has many aspects, the focus of discussion in this section is on those aspects most commonly cited by federal-level and field personnel: ongoing contacts between grantees and federal staff, monitoring, and final reporting.

Findings. The structure of the present grant management system features DPP staff serving multiple roles as competition managers, area specialists, and project officers who have individual responsibility for all grant activities in a specified subset of states. They are guided by decision rules on what to monitor, but each staff member has a big project load to manage, and accountability problems persist.

Ongoing contacts. Contacts between DPP and grantees are minimal (two or three times a year on the average), but grantees perceive these contacts to be of high quality and utility. Aside from the telephone audit that DPP staff conduct, grantees typically see themselves as initiating these calls. They may call their project officer to determine if they can modify a program idea or concept, to make changes in a procedure (e.g., formative evaluation), or, more frequently, to find out about upcoming dates for applying to a competition, and what future areas of funding might be. Occasionally, contact occurs

regarding progress on a project. Some grantees point out that if they are conducting business in Washington, D.C., they will stop by DPP for general project "PR" and to find out about funding plans.

Grantees are very positive about their contacts with DPP staff. They see their project officers as colleagues rather than regulatory in nature, as very helpful, very responsive, and always available to answer questions.

Grantee contacts with GCS are another matter. Budgetary issues are the most common concern of grantees, yet where they perceive that they are likely to get the least assistance from federal-level personnel. Grantees cite significant difficulty in getting responses from their GCS grants officers (e.g., a request for a grant extension took four months for even a response), and lost paperwork (e.g., an original and continuation proposal and accompanying request to transfer the grant to another university). As a result, projects suffer setbacks and project staff endure personal hardships.

Monitoring. DPP staff confirm the minimal contact they have with grantees and their inability to keep track adequately of grant activities. Given budget constraints and limited personnel, DPP staff members are able to monitor only a small portion of the grant projects and must rely largely on faith that grantees are doing what they said they would be doing. The monitoring that does occur is carried out by telephone.

Overall, DPP staff and grantees express a strong need for onsite monitoring and point out the valuable opportunities it provides. DPP staff gain content and management information about projects, a sense of their reality, and consequently an informed base from which to make professional judgments. They gain more exposure, broader experience, and are able to provide networking contacts and technical assistance to the field. Grantees, in turn, are kept on their toes, gain new insights about their projects, and are able to exchange valuable information with federal-level personnel whom they view as colleagues.

Final reporting and recordkeeping. Final performance reports and other official documents on grant projects are filed with GCS. DPP staff point out

the difficulty of getting to these files, and an apparent lack of follow-through by GCS in forwarding appropriate documents to DPP for evaluation. The DPP project officer is responsible for signing off on these projects with regard to their completeness and appropriateness, but is frustrated by delays in receiving final performance reports from GCS and sometimes by not receiving them at all.

Sometimes, grantees themselves have not submitted final performance reports. Even those who follow the rules and submit their reports on time express doubts as to whether these reports are even read. DPP staff members themselves are not sure that the final reports serve any real purpose for DPP. Because there are no specific guidelines for their preparation, final performance reports are submitted in various forms and are neither useful for aggregating data nor drawing conclusions. Given the many grant projects they administer, project officers are not expected to follow through on these final reports. They comment repeatedly that most of their time is spent "up front" on the grant award process.

Constraints. Major constraints on grant administration appear to be limited budgets and limited personnel in the two separate federal units that are responsible for carrying out the necessary activities. As a result, the grant administration that does occur is very limited:

> Although the current types of contacts that occur between DPP and grantees are collegial, they are very matter-of-fact and routine. They do not affect the quality of programs.
>
> The current types of contacts that occur between grants officers at GCS and grantees are frequently detrimental to project operations and to the overall image of GCS in the field.
>
> DPP staff rely on faith rather than fact that project activities are being carried out; this is because it is possible to do only limited monitoring by telephone of only a small sample of grantees.
>
> Under the current system, final reports are seen as of little value to DPP staff and grantees. Without specific guidelines for their preparation, final reports provide no useful basis for DPP to determine some combined effect of federal funding.
>
> Typically, the proper flow of grantee records from GCS to DPP does not occur in a reasonable or timely fashion.

Recommendations. Recommendations coming from DPP staff and grantees to deal with some of the constraints operating on the grant administration process include:

Provide for efficient and economical ways for grantees and federal-level personnel to make contact (e.g., regional meetings of project directors and DPP staff). DPP needs to know the people who are running the projects, and grantees need to know the people who are funding them.

To the extent possible, provide for at least some onsite monitoring to give DPP staff a sound basis for professional judgment in assessing the progress of projects.

Foster communication, coordination, cooperation, and mutual respect between DPP and GCS.

Determine the purpose of final reporting. If final performance reports serve only as a culminating activity for historical purposes, perhaps not much more needs to be done. If they are to serve as the basis for drawing conclusions on the overall effects of federal funding, then uniform guidelines for their preparation need to be established. If they are to be published and disseminated, then other guidelines should be followed.

Provide for centralized grant files with equal access to DPP project officers and GCS grants officers.

Leadership

Leadership refers to the activities DPP undertakes to guide and shape the field of personnel preparation. These activities may include working with other units in OSEP to enhance states' responsiveness to CSPD requirements in state plans, consulting with the field in planning priorities, providing technical assistance to the field in areas of expertise, and disseminating ideas and products.

Findings. DPP engages in a variety of leadership activities in varying degrees. Again, most staff time is spent on the grant award process, so leadership activities directly related to that receive the most emphasis.

CSPD. DPP is charged with directing program funds to relieve specific needs for various types of special education and related services personnel (all levels). DPP attempts to get a sense of these needs from data that

states collect annually, from reviewing CSPD portions of state plans for special education, and from advice solicited from the field. DPP, through its technical review process for evaluating grant applications, is supposed to determine whether proposed training projects reflect states' data and priorities.

DPP staff have expressed feeling "schizoid" about this determination, given that data are not always good or even available for some types of personnel. Overall, in fact, these data vary in quality and comprehensiveness from state to state. (See comments under "Review of critical needs," in the discussion for the Grant Award Process, above.)

It is worth noting that DPP receives only a portion of the CSPD information, and that does not come to them directly from the states, but through the Division of Assistance to the States (DAS), one of five divisions in OSEP. DAS has frontline contact with the states and, from the point of view of DPP staff, is in a better position to assist states to improve the quality, timeliness, and real utility of their data.

Some state-level grantees comment that they have only begun to realize how their CSPD data might be used more fully. They have so much data that their first task is to figure out how best to extract what is relevant to particular activities and how best to manipulate the data to highlight needs and help set priorities. Such grantees see this as an area where federal leadership and technical assistance would be especially valuable. They envision DPP working closer with DAS to provide the know-how and guidance states need to get the most out of their CSPD efforts.

Consultation with the field. Federal program managers have traditionally sought the field's advice in planning priorities. Appropriately, much of the input comes from institutions of higher education (IHEs) because they are the knowledge producers, and it is through their programs that new knowledge and best practice are communicated to increase the supply and improve the quality of trained personnel.

Late in the first quarter of calendar year 1986, DPP called in a task force of representatives from the field to advise the federal program officials on appropriate emphases for the FY87 competitions. DPP has relied heavily on task forces as an effective means of consulting with the field. Some staff would like to involve the field to an even greater extent, and suggest mechanisms such as task forces and small groups to address specific planning issues.

Grantees and other field personnel also look to the federal level as a central repository for state-of-the-art practice in personnel preparation, and for leadership in initiating and facilitating activities in which federal and field representatives discuss and develop long-range agendas.*

Technical assistance. DPP staff answer letters and telephone queries in their identified areas of expertise. Grantees are very satisfied with the quality and utility of these contacts, although they are infrequent. DPP staff and grantees would like more opportunities for technical assistance in which they can address substantive issues that affect the quality of programs. (Some grantees specifically mentioned that "the old BEH" had provided valuable assistance of this type.) In general, the field misses having closer contact with DPP staff members. DPP represents the best source of information about what is happening nationally--an informal national clearinghouse for ideas, innovative practices, staff recruitment, and much more.

Dissemination. Without funds for dissemination, DPP does not play such a role, except to help grantees submit their products to ERIC for dissemination via its computerized database.

Overall, grantees seem to be unaware of how much or what kind of dissemination they should be doing, nor do they have adequate funds in their three-

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* Joint planning has enabled institutions of higher education (IHEs)--to some extent--to adjust their programs to better fit fluctuating federal priorities for personnel preparation. However, to achieve federal goals in a lasting, fundamental way, IHEs reportedly need much more lead time--10 years minimum--than a five-year plan or a three-year grant cycle provides.

year grants to promote their projects and products extensively. Again, they look to the federal level to do something to facilitate dissemination. DPP staff members report that they would like to develop better dissemination approaches and to encourage grantees to place more emphasis on dissemination. However, DPP staff are overburdened with work which has higher priority within the division.

Constraints. A familiar constraint on federal program leadership (by DPP) is limited resources (funds and personnel) to carry out these various activities. Additional constraints in certain areas are noted below.

CSPD

DPP's ability to identify critical needs is only as good as readily available data and information permit. If and when statutory requirements for CSPD are enforced, and each state develops sound projections, DPP will have a better (but by no means adequate) basis for directing program funds to critical needs.

Consultation

DPP project officers are rarely permitted to travel anywhere, so consultation must occur by telephone or through task forces in which field representatives are brought to Washington, D.C. Task forces have proved extremely valuable but are limited in the number of field personnel they involve, and the breadth of perspectives they can tap.

Technical Assistance

Technical assistance, for the most part, is limited to answering queries by letter or by telephone. Person-to-person contact rarely occurs, unless grantees are able to visit Washington, D.C.

Dissemination

DPP has no dissemination role, and no formal dissemination plan to provide to grantees.

Recommendations. Recommendations of DPP staff and grantees to help overcome the constraints on DPP leadership activities include the following:

Provide technical assistance to the states in improving their CSPD data through a combined DPP/DAS effort.

Promote the use of task forces and small groups brought to Washington, D.C. as a means of consultation with the field.

To the extent possible, include technical assistance as part of a limited onsite monitoring effort.

Reinstate a budget for DPP staff participation in professional meetings, which would permit an economical channel for discussion, technical assistance, and exchange of ideas.

Clarify for grantees the dissemination roles of grantees vis a vis federal mechanisms or delivery systems; also clarify for grantees the underlying logic by which dissemination of promising practices will improve the quality of personnel preparation programs, and in turn, of personnel trained in those improved programs.

Consider providing for a national system of sharing "promising" ideas, models, programs, and products. The system should be easy to access (like a hotline and/or a catalog of brief descriptions and contact information). The information available through the system should be screened (if not formally validated), and should always be current, and easy to translate into practice elsewhere.

Coordination and Collaboration

Coordination and collaboration refers to the joint activities DPP undertakes with other OSEP divisions, other OSERS offices, and other federal agencies associated with personnel preparation. Some of these activities have already been mentioned in the above summaries of DPP inputs into federal program implementation.

Findings. Historically, federal agencies have had less than spectacular success in implementing truly productive or mutually satisfying and beneficial joint arrangements for planning and implementing activities. Members of DPP's staff comment on the boxes and boundaries within and without the division that prevent integrated programs from being established at both the federal level and in the field. Within OSERS, for example, the needs of special education and rehabilitation overlap, yet their representative units--OSEP and RSA--and their respective activities remain separate and distinct. Projects in the field, as another example, may have to eliminate otherwise appropriate elements, such as direct training, in order to "fit" within the boxes and boundaries of competition areas (e.g., Special Project grants cannot emphasize direct training). In short, boxes and boundaries may enhance administrative convenience, yet they may also disrupt the integrity of a program.

Coordination and collaboration between DPP and GCS presents the most immediate and pressing problems for the smooth functioning of the Personnel Preparation Program. Both units have experienced staffing changes and budget cuts. GCS has undergone two major reorganizations recently, exacerbating already present problems in serving DPP and the field efficiently and effectively. DPP has undergone changes as well, but staff have been able to maintain good relations with the field, as limited as they might be.

CSPD presents an opportunity for DPP, through coordination and collaboration with DAS and professional organizations, to determine exactly what states are doing and what they might be doing to better address CSPD. For the most part, however, this potential for coordination has yet to be realized.

Constraints. Obstacles to interagency coordination and collaboration are those typical of bureaucratic organizations: each agency operates under a separate and distinct legal mandate and funding source, according to its own administrative structure and norms, defending its own turf, and pursuing its particular legislative and management objectives.

Recommendations. DPP staff and field personnel, during interviews with the study team, commented frequently that the agencies concerned with personnel preparation should be working together to foster communication and cooperation, and to define their mutual roles. Recommendations for overcoming the constraints to coordination and collaboration include:

> Select for these efforts individuals who strongly desire to establish cross-agency relationships and who by nature have the persistence and organizational development skills to make coordination work.
>
> Establish formal ties and structured interactions for purposes of defining common objectives, for making strategic choices among alternative means, and for achieving these objectives.

Summary of Findings on Implementation of Federal Program Inputs by DPP

The inputs that DPP is intended to make in implementing the Personnel Preparation Program are occurring in various degrees. The grant award process, to which DPP staff devote most of their time, is generally occurring

as intended. The mechanisms are in place, the processes and procedures that have been used over the years have been distilled and improved successively, and the formal guidelines for the process are adhered to. A major block to the smooth operation of the process is the time delay experienced by many grantees in obtaining a formal written contract from GCS.* This is particularly detrimental to grantees' recruitment of both faculty and students, which has longer-term impact on the quality of the program.

The grant administration process (to keep track of grant activity) is occurring but only in a "bare-bones" fashion. The structure of the management system is in place and seems to be a relatively efficient one, but limitations of budget and in number of personnel put DPP staff in a position of having to rely primarily on faith that grant activities are occurring as intended. Contacts between DPP staff and grantees, while of adequate quality and utility, are too infrequent to foster discussion of substantive issues that affect the quality of grant projects. Contacts between GCS and grantees on budgetary matters are often frustrating.

DPP leadership activities are occurring in varying degrees, with the most emphasis placed on those related to the grant award process, e.g., consultation with the field in planning priorities. The greatest potential for leadership occurring would be in working with DAS to enhance states' responsiveness to CSPD requirements in state plans. As of FY86, resources were not available to DPP for providing any substantive federal leadership through technical assistance and dissemination activities.

The potential for coordination and collaboration occurring between DPP and other federal agencies concerned with personnel preparation is far greater than the reality. Bureaucratic norms are the most serious constraint, but short-term fluctuations in priorities and the vagaries of federal program funding also make it difficult to initiate coherent and stable collaboration.

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* The "grants negotiator" is the GCS contact for grantees.

IV. PROGRAM PERFORMANCE

Introduction

A second major purpose of the goal evaluation for the Personnel Preparation Program was to determine the extent to which results are being achieved (by grant projects in the study sample) that support the program goal and objectives.

The goal evaluation methodology has implications for conclusions about program performance. First was the decision to draw the sample from "live" projects that had had time to stabilize and to implement the strategies of interest to the goal evaluation. This necessarily restricted the study to conclusions on prospective program performance, based on data that projects were presently collecting and were likely to summarize in their final reports (generally due at or soon after the end of 1986).

Second, project reviews in a goal evaluation rely on two major data sources: initial and continuation applications in grant files, and interviews with project directors or principal investigators. In many cases, grant files did not contain the latest continuation, so files were not a useful source of information on program performance. Interviews with project directors did yield substantial information on project objectives and accomplishments, and the nature of supporting evidence that grantees were documenting.

Third, evaluation resources for this study did not permit data collection from third parties, such as consumers. Consumers would have included agencies who subsequently utilize the personnel trained and the models or programs developed through grant activities. They could have indicated the extent to which these products are meeting their critical needs, and are found to be high-quality, useful, and effective.

Within these caveats, the analysis of program performance was directed at answering these questions:

> To which federal objectives did projects perceive they were giving most emphasis?
>
> What results did projects claim they were achieving?
>
> What evidence were they documenting to support their claims?
>
> Were their accomplishments consistent with the outputs and outcomes the federal program expects from projects? (Reference: The last two columns of charts for competition areas in Appendix C.)
>
> Would outcomes contribute to the three federal program objectives and to its ultimate goal? (Reference: The last two columns of the logic model in Figure 1, Section I.)

Federal Objectives That Projects Emphasized

The relationships among program objectives, federal strategies, and major types of grant activity were originally shown in Figure 2 (Section I). According to that gross classification scheme, the Personnel Preparation Program expects support for its three objectives to come from certain clusters of projects, indicated by cell entries. For example, most of the contribution to the objective of producing more qualified personnel is expected to come from projects in the competition areas in Cell I (Special Educators, Related Services, Rural, Infant, Transition, and Minority). In aggregate, projects in Cells II and III (Leadership and Special Projects) are specifically expected to contribute most to the objective of improving the quality of personnel; and the objective of expanding system capacity is expected to receive most of its support from projects in Cells IV and V (Regular Educators projects, SEA projects, and Parent projects).

Associating particular clusters of projects with a particular program objective risks conveying the incorrect impression that "quantity" and "quality" are pursued in separate and distinct ways. On the contrary, the Personnel Preparation Program strives for parity between quantity/quality. For example, the part of the grant program that aims primarily at personnel production ("quantity") also has "quality" aspects:

- technical review/evaluation procedures are meant to ensure that only high-quality personnel preparation programs are funded; and
- to be funded, applicants must provide assurances that proposed programs meet recognized standards.

The part of the grant program with a primary emphasis on "quality" also has "quantity" aspects:

- producing more personnel at doctoral and post-doctoral levels;
- producing models that address unmet needs for preparing personnel in particular specialty areas or for particular roles.

Figure 4 shows that from a project perspective, too, the drive toward federal program objectives was broadly based for grantees in the study sample. These grantees, too, perceived that they were contributing to more than one of the three program objectives. Many reported that they were documenting results that could be linked to two or all three of the objectives.

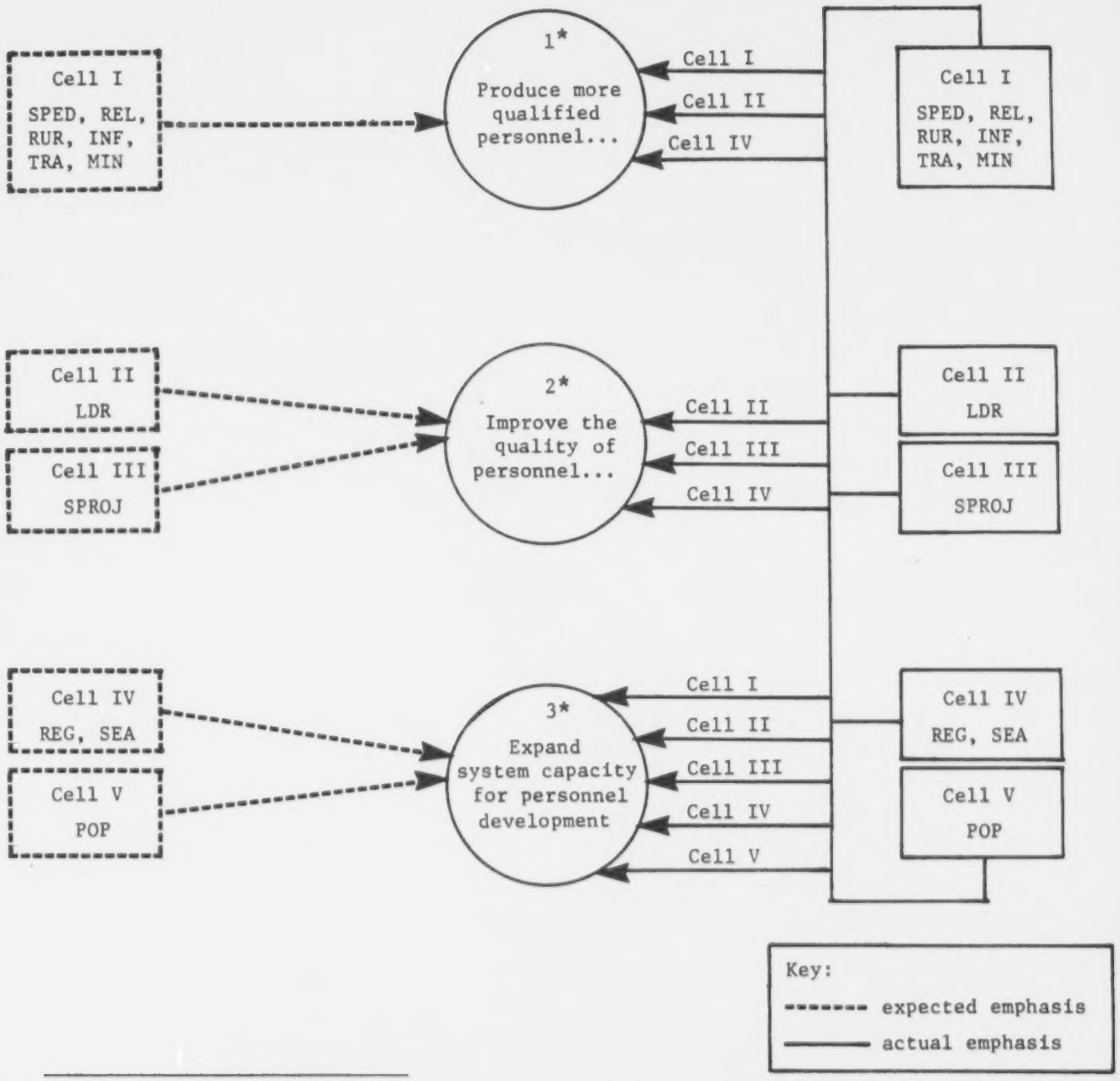
The remainder of this chapter summarizes project accomplishments and the nature of supporting evidence to confirm or disconfirm progress toward federal program objectives.

Outputs

Nature of Outputs and Outcomes

The charts for competition areas in Appendix C distinguish outputs from outcomes by listing them in separate columns. Lists in the outputs columns of these charts are more closely akin to processes or activities that occur in the course of doing the projects. They typically mirror the statement of project objectives in the first column of each chart. Outputs are the focus of the present section.

In contrast, entries in the outcomes columns are more in the domain of effects or impacts. Their wording suggests relevance to a particular (federal) program objective. Outcomes are the focus of a later section in this chapter.



* NOTE: The dotted boxes and arrows show the competition areas that are expected to make the major contribution to each federal objective. However, both the federal program and its grantees recognize that the three objectives are inextricably related, and cannot be pursued in separate and distinct ways.

Figure 4. Overview of Emphasis on Federal Program Objectives

Overview of Federal Expectations for Outputs

Charts for competition areas in Appendix C indicate outputs the federal program expected for each competition area according to FY86 grant announcements. (These charts, with the exception of the chart for Transition projects, originally appeared in the goal evaluation's Program Documentation Report, June 1986.)

Table 7 lists these outputs and, under each one, indicates each competition area for which the output is specifically indicated by (1) the charts in Appendix C, or (2) the location of the competition area in one of the three columns in Figure 2. For example, the Personnel Preparation Program expects projects in all competition areas to develop and improve training and related information (in the form of programs, models, materials) and to provide this training and information directly in all but Special Projects (SPROJ). Another predominant output is providing stipends, although only the seven competition areas in Cells I and II are specifically expected to do this.

Findings

The nature and pattern of outputs that projects in the study sample claimed to be achieving was generally consistent with federal expectations for competition areas, and for cells.

For instance, dissemination of models and materials is specifically expected of Special Projects (SPROJ) and SEA Projects (SEA), and all or most projects in these competition areas were documenting evidence to confirm such activities. Similarly, all or most projects in competition areas that are expected to develop programs/models/materials, to provide training and information, and to offer stipends, were doing so.

Project-level data that grantees said they were documenting to support the above four outputs were predominantly quantitative or concrete:

Numbers trained, certified, employed in needs area

Numbers and content of communications, workshops

Print and audiovisual products, instruments

Course descriptions

Numbers, types, reach of dissemination activities

For all remaining outputs, supporting evidence is qualitative:

Opinions of trainees, their supervisors, project staffs, and consultants about the quality, utility, strengths, and weaknesses of models and materials

Self-reports (of project staff, participants in training programs) of knowledge and competencies acquired, or behaviors changed

Self-reports (of project staff) of incorporating "best practices," identified in research literature, suggested by expert consultants, or expected to be effective on the basis of earlier (pilot) efforts

To summarize, there appears to be good alignment between federal expectations and project outputs, and supporting evidence on the extent and nature of these achievements. However, available quantitative evidence is likely to be limited to production-type outputs, such as individuals trained, models and materials developed. Much softer data were reportedly being documented for quality-type outputs, such as models evaluated, competencies acquired, best practices incorporated. The nature of these data suit the formative emphasis of projects' evaluations, which they conducted as part of developing and refining their programs and models.

Outcomes

Outcomes are the effects or impacts on individuals and organizations of training activities, model availability, and "doing the project." Examples of outcomes are the availability of more qualified personnel (including regular educators); higher quality personnel; new or improved capacity for personnel preparation, programming, and planning; interest in or implementation of exemplary practices, models, programs.

Table 7

Outputs Being Documented by Projects in the Goal Evaluation Sample

Number of Projects That Reportedly Have Supporting Evidence for This Result*

Type of Output Expected**	Cell I SPED N=9	Cell I REL N=5	Cell I RUR N=5	Cell I INF N=3	Cell I TRA N=5	Cell I MIN N=3	Cell II LDR N=6	Cell III SPROJ N=7	Cell IV REG N=4	Cell IV SEA N=4	Cell V POP N=5	Totals by Cell I N=30	Totals by Cell II N=6	Totals by Cell III N=7	Totals by Cell IV N=8	Totals by Cell V N=5	Overall (N=56) N	Predominant Nature of Grantee's (and TAPP's) Supporting Evidence: Quantitative Data	Predominant Nature of Grantee's (and TAPP's) Supporting Evidence: Qualitative Data
• Individuals receive training, information for roles (includes regular educators, parents) Specifically expected of: SPED, REL, RUR, INF, TRA, MIN, LDR, REG, SEA, POP	9	5	5	3	5	3	6		4	4	5	30	6		8	5	49	• Ns receiving training • Ns, content of communications, workshops, on-site consultations	
• Programs, models, materials developed/revised Specifically expected of: SPED, REL, RUR, INF, TRA, MIN, LDR, SPROJ, SEA, POP	8	4	5	2	4	2	4	7	4	4	5	25	4	7	8	5	49	• Print and audio-visual products, instruments; lists of competencies and training objectives; course descriptions	
• Stipends attract strong candidates Specifically expected of: SPED, REL, RUR, INF, TRA, MIN, LDR	9	5	5	3	4	3	6					29	6				35	• Ns, types who receive stipends • Student records of admissions qualifications (for university program) • Course grades and class standing of stipend recipients (for university program) • Ns of trainees stipends attract who would not enter program without financial assistance.	• Letters of recommendation from previous employers, administrators
• Best practices incorporated in programs, models Specifically expected of: SPROJ, REG, SEA								7	4	3				7	7		14		• Self-reports of incorporating practices based on research literature, experts consulted, lessons learned from earlier (pilot) efforts.
• Models and materials evaluated Specifically expected of: SPROJ								7						7			7		• Opinions of trainees, their supervisors, project staffs, and consultants about quality, utility, strengths, and weaknesses of model, materials
• Models and materials disseminated Specifically expected of: SPROJ, SEA								5		4				5	4		9	• Ns, types, and "reach" of model dissemination activities, consumers	
• Statewide priorities addressed by training programs Specifically expected of: SEA, REG									4	4					8		8	• Ns of requests for training	• Informal assessments of need • Literature review
• Competencies acquired as a result of training Specifically expected of: REG, POP									4		5				4	5	9		• Self-reports of knowledge, competencies acquired, behaviors changed • Descriptions of parents' interactions with justice, health, and school systems on behalf of their children

* In order for a project to be counted here, information obtained from the interviewee must have indicated that the reported result was being systematically documented and that supporting data were being collected or might be reported in final performance reports.

** This list of "outputs" is consistent with the "outputs" column of the charts for each competition area in Appendix C. They represent the federal program's expectations of projects funded in FY86.

Competition Areas in Cells I - V:

Cell I:	Special Educators (SPED)	Cell II:	Leadership (LDR)
	Related Services (REL)	Cell III:	Special Projects (SPROJ)
	Rural (RUR)	Cell IV:	Regular Educators (REG)
	Infant (INF)		SEA Projects (SEA)
	Transition (TRANS)	Cell V:	Parent Organization Projects (POP)
	Minority (MIN)		

Overview of Federal Expectations for Outcomes

Charts for competition areas in Appendix C indicate outcomes the Personnel Preparation Program expected for each competition area, according to FY86 grant announcements. Table 8 lists these outcomes (second column) and shows their logical relevance to the three federal objectives and to the ultimate program goal.

Findings

The columns in the middle of Table 8 show the number of projects that said they were documenting supporting evidence for these outcomes. These frequencies are presented by competition area, by cell, and for the program as a whole. The purpose of this arrangement is to provide a picture that will be useful to federal program managers, who will not only be interested in results for the program as a whole, but also for units and subunits of the program (cells and competition areas).

If it were possible to lay Table 8, Figure 3 (Section III), and Figure 4 side by side and to consider one competition area at a time, and one cell at a time, the following picture should emerge:

> Projects in competition areas (and cells) that are expected to make the most contribution to a given program objective, as a result of the strategy(ies) they are expected to emphasize, reported outcomes with supporting evidence that were consistent with these expectations.
>
> In addition, support for federal program objectives came from projects in other competition areas.

Having said that, what does Table 8 tell us about the nature of outcomes and evidence the study sample claimed to have to support the three federal program objectives?

Objective 1. Forty-four projects representing nine competition areas (in Cells I, II, and IV) reported that they have quantitative data to show that their activities and strategies have produced more qualified personnel.* In addition, many projects were documenting numbers of program graduates actually employed in the specialty areas for which they received training, and some were documenting retention data.

Objective 2. Eighteen projects representing four competition areas (in Cells II, III, and IV) claimed to have improved the quality of personnel trained through applying model training approaches, or through doctoral or postdoctoral programs. They had only subjective or qualitative data on these outcomes, and no objective data on the quality of training or models. Examples of supporting evidence were:

> Subjective judgments or ratings of trainees' competency levels as a result of training (includes course grades and reports from supervisors of practicum experiences)
>
> Informal feedback (from participants and their supervisors) confirming improved performance of individuals trained according to model

The six projects in Cell II (Leadership) claimed to have increased the number of doctoral-level personnel qualified to train teacher trainers, do research, and administer programs (i.e., qualified to lead the field of personnel preparation). The data they claimed to be documenting to support this outcome included:

> Numbers of graduates (doctoral, postdoctoral)
>
> Numbers of graduates employed as "leadership" personnel

---

* Projects must now report annually to the Personnel Preparation Program: the number of individuals trained under the grant, by category of training and level of training; and the number of individuals trained under the grant who receive degrees and certification, by category and level of training.

Table 8

Outcomes Being Documented by Projects in the Goal Evaluation Sample
that Contribute to the Federal Program Goal and Objectives

Number of Projects That Reportedly Have Supporting Evidence for This Result*

Federal Goal and Objectives	Related Project Outcomes**	Cell I SPED N=9	Cell I REL N=5	Cell I RUR N=5	Cell I INF N=3	Cell I TRA N=5	Cell I MIN N=3	Cell II LDR N=6	Cell III SPROJ N=7	Cell IV REG N=4	Cell IV SEA N=4	Cell V POP N=5	Totals by Cell I N=30	Totals by Cell II N=6	Totals by Cell III N=7	Totals by Cell IV N=8	Totals by Cell V N=5	Overall (N=56) N	Predominant Nature of Grantee's (and TAPP's) Supporting Evidence: Quantitative Data	Predominant Nature of Grantee's (and TAPP's) Supporting Evidence: Qualitative Data
• Objective 1: To produce more qualified personnel to serve children and youth who are handicapped Specifically expected of: SPED, REL, RUR, INF, TRA, MIN	Increased quantity of qualified personnel	9	5	5	3	5	3	6		4	4		30	6		8		44	• Ns/types/levels of personnel trained and certified in specialty or needs area • Ns of program graduates actually employed and retained in specialty or needs area for which trained • Ns of trainees demonstrating competencies addressed by training program (subjective judgments)	
• Objective 2: To improve the quality of personnel trained to serve children and youth who are handicapped Specifically expected of: LDR, SPROJ	Improved quality of personnel trained through applying model training approaches	NOTE: Projects in Cell I also aim to improve the quality of personnel trained, but are counted as increasing the number of qualified personnel, above.							6	4	2				6	6		12	• Ns of trainees demonstrating competencies addressed by model or training program (subjective judgments)	• Self-reports of trainees' mastery of competencies or behaviors addressed by the training program • Informal feedback confirming improved performance of individuals trained according to model
	Increased number of doctoral-level personnel qualified to train teacher trainers, do research, administer programs (i.e., qualified to lead the field of personnel preparation)							6						6				6	• Ns graduating from doctoral (or postdoctoral) programs • Ns of graduates employed as "leadership" personnel	
• Objective 3: To expand the capacity of the system for personnel development Specifically expected of: REG, SEA, POP NOTE: Counts are duplicative because a project may be documenting more than one of these outcomes. There are actually 43 individual projects (76.7%) represented in this array of "system capacity" outcomes.	New or improved collaborative or cross-discipline relationships increase likelihood of further joint personnel preparation activity, programming, or decisionmaking	3	2			3	3	1	4	4	3	1	11	1	4	7	1	24	• Ns and types of changes in classroom, LEA, SEA, or IHE procedures, policies, programs • Written institutional agreements	• Self-reports of project staff • Informal feedback from participants
	Courses or models made a part of existing preservice or doctoral programs		1			2		2		2	2		3	2		4		9	• Ns of IHEs incorporating training model or program in curriculum	
	Broad array of potential consumers indicate serious interest in models or programs		1	1	2	1	1		7		3		6		7	3		16	• Ns of (written) requests for information, training	
	Those who complete training indicate actual or intended use of models or training approaches					1			6		4		1		6	4		11	• Ns and nature of implementation (subjective judgments of level of implementation)	• Self-reports of project staff, trainees • Informal feedback from trainees
	Nonfederal sources to help promote or expand demonstration/dissemination of model	1	1	1		1			4	2	3		4		4	5		13		• Self-reports of project staff • Agreements (not necessarily written)
	Training (includes parents) creates new, permanent, local capacity for personnel preparation	2	1			1			3	4	2	5	4		3	6	5	18	• Ns of trainees equipped to provide training in model or program approach to personnel at their local sites (subjective judgments)	• Self-reports of project staff
	Parents (or persons who assist them) engage in educational planning and programming with the system on behalf of their children											3					3	3	• Number of hours spent facilitating parent involvement in educational planning and programming	• Follow-up questionnaires to parents (self-reports) • Informal feedback from parents
	New statewide training network as a result of project					1				3	4		1			7		8		• Self-reports of project staff
• Ultimate goal: Enhance education and related services for handicapped children and youth through the preparation of specialized personnel	Educational or social attainments improve for children and youth who are handicapped	6	3	5			1	6	4		1		15	6	4	1		26	• Results of evaluation studies	• Self-reports of project staff • Feedback from supervisors
	Completers of training provide improved quantity, quality of services to children and youth who are handicapped	5	2	2	2	3	1	6		3	1		15	6		4		25		• Informal feedback from employers • Self-reports of trainees, administrators at practicum sites, graduates of doctoral programs

* In order for a project to be counted here, information obtained from the interviewee must have indicated that the reported result was being systematically documented and that supporting data were being collected or might be reported in final performance reports.

** The "related project outcomes" (Column 2) for Objectives 1 and 2 follow the wording in the "outcomes" column of the charts for competition areas in Appendix C. For Objective 3, the outcomes will not be found in the charts in Appendix C, but do reflect language in the FY86 grant announcements for several of these competition areas. Overall, the outcomes in Column 2 above represent federal expectations of projects funded for FY86.

Competition Areas in Cells I - V:

Cell I:	Special Educators (SPED)	Cell II:	Leadership (LDR)
	Related Services (REL)	Cell III:	Special Projects (SPROJ)
	Rural (RUR)	Cell IV:	Regular Educators (REG)
	Infant (INF)		SEA Projects (SEA)
	Transition (TRANS)	Cell V:	Parent Organizations Projects (POP)
	Minority (MIN)		

Objective 3. Forty-three projects, representing all competition areas, claimed to be achieving outcomes that were relevant to expanding system capacity for personnel development (all levels). Frequencies in Table 8 suggest that the most prevalent of these outcomes included:

New or improved collaborative or cross-discipline relationships that increase the likelihood of further joint personnel preparation activity, programming, or decision making

New, permanent, local capacity for personnel preparation as a result of project activity

Serious interest in projects' products (models or programs) across a broad array of potential consumers

Commitments of nonfederal support to help promote or expand demonstration and dissemination of models, programs

These projects said they were documenting quantitative data to support most of their claims. However, this information is likely to be imbedded in a descriptive narrative in their final reports, rather than in a format that would make it easy to extract and aggregate across projects and competition areas.

The ultimate goal: Nearly half of the projects in (Cells I, II, III, and IV) planned to report qualitative data to support their claims of:

Improved educational or social attainments of children and youth who are handicapped

Improved quantity and quality of services to handicapped children and youth (from participants who complete training)

One project in Cell IV (in the Regular Educators competition area) planned to collect quantitative data that he expected would show a reduction in the frequency with which classroom teachers referred students for special education services. (This project has developed a program in which regular educators and special education personnel jointly develop instructional strategies for teaching learning disabled students in regular classrooms. The classroom teachers "commit" to trying these instructional alternatives first, before resorting to referral for special education services, and building administrators "commit" to ensuring that they do.)

Summary of Findings on Program Performance

Nearly 80% of the study sample (44 projects in 9 competition areas) claimed to be achieving outcomes and to have supporting evidence for the objective of "producing more qualified personnel." Over 30% (18 projects in 4 competition areas) said they were achieving outcomes associated with the objective of "improving the quality of personnel trained." Over 75% (43 projects in all 11 competition areas) reported outcomes that represented the third objective, "expanding system capacity." Most prevalent were new or improved collaborative arrangements as a result of grant activity, claimed by about 43% (24 projects in 9 competition areas).

Therefore, there appears to be broad support for federal program objectives from results that grantees in the study sample were trying to achieve. This suggests that the prospects for satisfactory program performance are positive.

However, it is likely that the only quantitative data available in summary form will be relevant to producing more qualified personnel and more "leadership" personnel. The data to support the objective of "improving the quality of personnel trained" will be quite soft, and quantitative data to support the "system capacity" objective, though impressive, will probably not be provided in a form that makes it economical to aggregate.

Finally, there was a surprising amount of interest among grantees in tracking ultimate benefits for handicapped students, given the impossibility of conclusively demonstrating that these benefits are attributable (directly) to personnel preparation programs. Nearly half of the projects in the study sample claimed to have information on improved-service delivery to, or improved attainments of, handicapped students who were subsequently served by project participants.

V. PROGRAM PLAUSIBILITY

Introduction

This step in the goal evaluation asks the question:

> "Is it reasonable to expect the Personnel Preparation Program to achieve its objectives, given the federal strategies that have been adopted, and the extent to which they are being supported by the program and implemented through grant activities that are actually operating in the field?"

This question reflects what the term, "plausibility," means in the context of a goal evaluation, and the nature of judgments that the evaluator makes. An objective is plausible if there is some likelihood that program activities and strategies will achieve progress toward the objective. To judge an objective as plausible would be to claim that if the program continued to operate as observed, the objective would or could be attained. Saying that an objective was implausible would be to assert that, for various reasons (which the evaluator makes explicit), the program operations or conditions observed do not support attainment of the objective. These reasons could include such factors as the failure of activities or strategies supporting the objective to occur as planned.

Procedure

Making these judgments requires estimating the extent to which the inputs, processes, and assumptions represented in the program logic model are occurring or can occur at a level of performance that justifies expectations about the Personnel Preparation Program's ability to achieve its objectives.

Much of the information needed for the plausiblity analysis is in Section III (Program Implementation):

> Findings on the extent to which processes and inputs are being implemented (i.e., strategies, project and federal program activities)

Conclusions about the congruity or incongruity between expected and actual emphases on federal strategies through major kinds of grant activity.

Information in Section IV (Program Performance) is also relevant:

The nature of results grantees claimed to be achieving, and the extent to which these results appear to support Personnel Preparation Program objectives

All of this information must now be reexamined in making judgments about program plausibility.

The analysis addresses these questions for each of the three program objectives:

To what extent were federal strategies being implemented through project activities? (Ref: Section III)

To what extent were projects' objectives and accomplishments congruent with federal program goals and assumptions? (Ref: Section IV)

To what extent does evidence of these accomplishments exist? (Ref: Section IV)

Methodological Reminders

The goal evaluation examines strategies as they operated through FY86. This also establishes the time boundary for the plausibility analysis. While it is conceivable that changes from FY86 to FY87 have implications for program plausibility in the future, the present analysis must necessarily be restricted to the data base for the goal evaluation.

It is not within the scope of a goal evaluation to collect primary data on project accomplishments, to capture all relevant perspectives, or to verify secondary data conclusively. The study team relies on readily available written or verbal reports of results and, to an even greater extent, on interviews with principal investigators or project directors--who are certainly not disinterested observers. Even though this study team conducted interviews on a confidential basis, and most interviewees were candid ("This is off the record. . ."), it is certainly possible that some relevant information is fugitive.

The goal evaluation sample is small in proportion to the size of the program, although it is representative of the broad array of Personnel Preparation Program grant activities and six of the eleven subsamples constituted between 25% and 37% of their sampling pools. Another compensating advantage for a program analysis of this type is that data collection emphasizes depth, especially in the areas that will inform a plausibility analysis.

Finally, goal evaluations do not examine program management procedures per se. However, it is legitimate (and necessary) to determine if intended major program inputs are occurring at a level that supports program objectives and federal strategies that are implemented to attain the objectives. This information, too, is part of the database for the plausibility analysis.

Organization of Presentation

The plausibility analysis for each program objective is divided into three sections: (1) analysis; (2) constraints and unresolved issues; and (3) summary. The analysis addresses the three questions (above) that are at the heart of a plausibility analysis. The list of constraints and unresolved issues includes a variety of perspectives: grantees; DPP, OSEP, and OSERS staff; Personnel Preparation Program constituencies in the field; and literature reviewed in the course of the goal evaluation. Some of these issues were mentioned in the Program Documentation Report for the goal evaluation. They reemerge here because they affect strategies as they currently operate, and because they could affect the future plausibility of program objectives.

Plausibility of Objective 1

This federal objective is "to produce more qualified personnel to serve handicapped children and youth."

> Judgment: At face value, Objective 1 is plausible, as it is presently stated.

Analysis

As of FY86, there were six competitions directed at filling shortages and targeting for critical areas of need: Special Educators, Related Services, Rural, Infant, Transition, and Minority.

Section III documented that all projects in these six competition areas appeared to be implementing the strategies and activities that the Personnel Preparation Program expects are important for achieving Objective 1. They said that they were documenting numbers and qualifications of recruits, and several said that they had retention data. Their proposals presented convincing statements of critical needs that incorporated or cited a variety of appropriate sources, and comments of peer review panelists were particularly complimentary on this aspect of grant applications.

Section IV indicated that the training programs and materials that these projects subsequently developed, and the training they provided, were directed at the needs they proposed to address, and appeared to be quite consistent with the focus of the competition areas under which they were funded. Project level data reportedly included numbers trained and certified, by specialty area and/or degree level, and numbers of training "graduates" who enter the roles for which they were trained. (With the exception of Leadership projects, grantees did not systematically collect data to show whether graduates of training programs remained in careers in special education.) In summary, these data supported outputs and outcomes that the federal program expects of these types of projects.

The above picture also holds for additional subsamples (1) that implemented these two federal strategies, and/or (2) whose major grant activity was "program development, improvement, and support (including stipends), even though Objective 1 was not necessarily their primary emphasis. For example, all projects in all other competition areas in the study sample claimed to be targeting critical needs, and all but one of the projects in the Leadership subsample emphasized recruitment. They all claimed to have quantitative data like that noted above for other subsamples.

Constraints and Unresolved Issues

The lists of constraints and issues below pertain, in turn, to Strategy 1, Strategy 2, and Objective 1.

Strategy 1. Recruitment and Retention

Stipend allowances are not always a sufficient incentive for qualified candidates with financially attractive options. This was especially true for strong minority candidates, who appear to have many options.

For projects in the Leadership competition area, high tuition and selectivity constrained how many candidates doctoral and post-doctoral programs could recruit.

The methodological difficulties and costs of longitudinal surveys make it unlikely that grantees will ever be a feasible source of reliable data on whether those who prepare for and enter careers in special education remain in these careers.

Strategy 2. Targeting Critical Needs Areas

The intransigent problem of what constitutes a shortage, how to identify it, and how to focus resources on relieving it is far from being resolved (or completely understood).

While the larger strategic issues in targeting critical needs areas are receiving varying amounts of attention from OSEP, OSERS, and agencies outside OSERS, such as OPBE and the Center for Statistics, DPP has not yet assumed a significant role, or developed a long-range plan for sharing in the problem's resolution. (The FY86 amendments establish a national clearinghouse whose responsibilities include collecting data on needs. If DPP can influence or shape data collection so that it includes more than "teacher counts," that represents an opportunity to make some headway.)

No satisfactory system or mechanism is functioning well enough at present to provide a baseline against which to evaluate grantees' documentation of critical needs areas in initial and continuation applications.

CSPD information and states' annual counts are least useful for documenting needs for highly specific personnel specialities, and for projects serving regional and national interests or needs (such as those submitted under the Leadership competition).

There are no central data bases relevant to preparing personnel to serve handicapped individuals in out-of-school settings (e.g., hospitals).

Uncompetitive salaries and unappealing geographical location are two problems (not amenable to training program interventions) in targeting critical needs areas.

Because of critical shortages, uncertified teachers are hired, and this reduces the incentive for potential trainees to enter certification programs.

Objective 1:

Grantees observed that it takes a long time for individuals who receive training in model practices to develop "working power" (competence) at a level necessary for a meaningful head count of qualified personnel. It also takes time to be qualified for providing effective training to others.

No universal standard exists to suggest what "qualified" means. State certification requirements vary widely. Grantees' data on competencies demonstrated as a result of training were also weak, relying heavily on subjective assessments of trainees' performance by their teachers, practicum supervisors, and employers.

Grantees took issue with being associated (in federal program logic) with personnel production. They counted among their most significant accomplishments having been able to win commitments and engineer changes in their institutional contexts that would continue the programs they had established. Such improved capacity, these grantees reasoned, will eventually enable the system to meet its needs for (sufficient numbers of) qualified personnel.

Summary

This analysis concludes that:

There is quantitative data that can be aggregated to indicate the numbers trained, for what specialty areas, and at what degree levels.* Grantees also have data on numbers employed in roles for which they were trained. All of this information will provide support for the "personnel production" aspect of Objective 1.

* Projects must report annually to the Personnel Preparation Program: the number of individuals trained under the grant, by category of training and level of training; and the number of individuals trained under the grant who receive degrees and certification, by category and level of training. Grantees enter the data on a form that DPP refers to (in-house) as "the 98-199 form," because the amendments to the Education of the Handicapped Act in this public law authorized such data collection for the first time from Personnel Preparation Program projects.

According to the statutory language, "qualified" means that the person who completes training also meets state requirements or professionally recognized standards for a certificate or degree. Thus, grantees' data on the numbers who earn certificates or degrees in specialty areas will provide support for the qualified portion of Objective 1.

Strategies 1 and 2, recruitment and retention and targeting critical needs areas, can be implemented as intended through program development, improvement, and support grant activities.

There was a very close fit between (1) critical needs areas documented in grantees' proposals and (2) programs and models they developed, or training they delivered.

It would be difficult to convince individual grantees in the "personnel production" competition areas (SPED, REL, RUR, INF, TRA, MIN) that the primary importance of their projects was to increase the quantity of qualified personnel. From their perspectives (project level), this objective is a much more distal outcome, following from improved system capacity.

Plausibility of Objective 2

This federal program objective is "to improve the quality of personnel trained to serve handicapped children and youth."

> Judgment: In the absence of objective assessment, the plausibility of Objective 2 is neither confirmed nor disconfirmed.

Analysis

According to the gross classification presented in Figure 2 and explained in Section 1, there are two competitions directed primarily at improving the quality of personnel preparation: Special Projects and Leadership. These grants support, respectively, (1) development of exemplary models for personnel preparation, and (2) preparation, at the doctoral and postdoctoral levels, of individuals who will then go on to encourage the use of state-of-the-art methods in personnel preparation. The Personnel Preparation Program would like to be able to show that benefits of these grant activities address critical needs for "leadership" personnel and for replicable, exportable

training models and cost-effective approaches to personnel development (all levels).

Section III concluded that projects in these two competition areas appeared to be implementing strategies and activities that the Personnel Preparation Program expects to be their primary emphasis, and to be associated with the second objective:

> All Special Projects in the study sample undertook activities that included strong elements of model development, evaluation, and dissemination (Strategy 3).
>
> Leadership projects emphasized leadership development (Strategy 4), through doctoral and postdoctoral programs they developed, improved, or supported with grants from the Personnel Preparation Program.

Two important qualifications pertain to Strategy 3, as it was implemented by projects in the study sample. First, model evaluation relied on expert review and participant feedback, carried out in the context of the model's developmental tryout; formal field tests did not occur. Second, model dissemination emphasized one-way communication--getting information out to target markets, and promoting model approaches through presentations at conferences and workshops. Although a wide variety of potential adopters expressed serious interest in the model approaches, there was little opportunity within a three-year grant period to provide them with implementation assistance, nor was this expected to be an objective of such grants.

Section IV described the data that Special Projects and Leadership grantees said they were documenting of outputs and outcomes that contribute to the quality objective. Their quantitative, objective data was reportedly limited to production-type outputs:

> (For Special Projects) numbers of models and materials developed, target roles and levels, and the frequency, nature and reach of dissemination activities
>
> (For Leadership projects) numbers of doctoral and postdoctoral graduates, numbers of graduates employed as "leadership" personnel*

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* The definition of "leadership" roles varies, as does the availability of such opportunities for new Ph.Ds.

No objective data are likely to be available on the quality of models, the quality of training, or improved quality of personnel trained through (1) applying model training approaches or through (2) doctoral or postdoctoral programs. However, these are examples of the qualitative data they said they were documenting: subjective judgments or ratings of competency levels that trainees demonstrated during and upon completion of training (including course grades and reports from supervisors of practicum experiences); and informal feedback from participants and their supervisors confirming performance improvements and desired changes in behaviors and attitudes of individuals trained.

It was beyond the scope of grant projects to obtain data from consumers of the models they developed and the personnel they trained. Such data could indicate whether these products in fact do meet critical needs of the field, and are found to be high-quality, useful, and effective.

Constraints and Unresolved Issues

The lists of constraints and issues below pertain, in turn, to Strategy 3, Strategy 4, and Objective 2.

Strategy 3. Model Development, Evaluation, Dissemination

Grant budgets and timelines are not sufficient for carefully testing models, or for distributing them and providing implementation assistance on a large scale.

Federal program resources have not been used to fill this gap, except selectively. For example, funds were added to a grant that developed a training system for infant service providers, to enable the model developer to do a workshop for all Personnel Preparation Program grantees with "infant" projects.

Strategy 4. Leadership Development

Budget reductions at institutions of higher education, combined with the relatively high cost of doctoral programs and limited availability of stipends to attract well qualified full-time doctoral students, threaten the quality of future leadership for the field of personnel preparation. This dilemma results from economic conditions that the Personnel Preparation Program cannot affect.

Opportunities for new Ph.Ds to assume leadership roles have been limited to date, a situation that is not amenable to training interventions.

Objective 2:

Quality-oriented intiatives have inherent measurement problems that make it very difficult and costly for grantees to establish rigorously the merit of their grant products (models, leadership personnel). Not surprisingly, available quantitative, objective data for adequately assessing accomplishment of this objective are virtually nil.

Even qualitative data (e.g., subjective assessments of demonstrated competencies, of model quality, of behaviors acquired through training that utilizes state-of-the-art practices) have not been obtained from disinterested sources, especially consumers.*

Summary

This analysis concludes that:

Assumptions that these two federal strategies will lead to improved practice and to improved quality of personnel are neither confirmed nor disconfirmed on the basis of data available from the study sample.

As grant activities are presently focused, it is probably not feasible to expect grantees to obtain data that would rigorously support Objective 2.

Strategy 4, leadership development, can be implemented as intended through doctoral and post-doctoral grant activities.

---

* By definition, a disinterested data source must be limited to individuals who were not associated in any capacity with the grant project, because otherwise their roles would compromise their absolute objectivity. To be included in such a survey, consumers must actually have "purchased" the services of the graduates of doctoral programs, or "purchased" (and actually implemented) models or materials that were developed and refined during grant projects. By this definition, consumers exclude experts who were involved in a model's formative evaluation (developmental tryout), or individuals who have roles in the programs whose graduates are being evaluated.

Strategy 3, model development, evaluation, and dissemination, can be implemented to a limited extent within a three-year grant, with most of the effort going to model development, promoting awareness of these models, and exposing others to the models during their developmental tryout.

There was a very good fit between models developed by grantees and the critical needs that they documented in their grant applications, and there was evidence of serious interest among potential consumers. Thus, the models have the potential for meeting critical needs.

As grant activities are presently focused, it is probably not feasible to expect grantees to obtain data that would rigorously support Objective 2.

Plausibility of Objective 3

This federal objective is "to expand the capacity of the system for personnel development."

Judgment: Objective 3 is plausible.

Analysis

As of FY86, there were three "capacity-oriented" competitions: Regular Educators, SEA Projects, and Parent projects. The first two competitions were directed at stimulating improvements in the system's ability to meet local, state, and regional needs for trained and certified personnel, and for regular educators qualified to educate handicapped children and youth in least restrictive environments. Parent projects were to provide training, technical assistance, and information to parents to help them influence the system to develop and exercise its capacity to meet the needs of their handicapped children.

Section III documented that all projects in these three competition areas appeared to be implementing the strategies and activities that the Personnel Preparation Program expects are important for achieving Objective 3. Overall, they developed programs and provided technical assistance, information, and

training that emphasized collaborative planning and intervention on behalf of handicapped children, and permanent local or statewide training capacity to stimulate replication of their models and approaches.

Sections III and IV indicated that these projects said they were documenting quantitative data on the number and nature of their information exchanges, training events, and technical assistance sessions; the number and nature of parent and personnel preparation programs they developed; the number, nature, and reach of their dissemination efforts; and the number and location of individuals, agencies, and groups who express serious interest in the training approaches they have developed. To some extent, these projects were documenting new collaborative or cross-discipline planning mechanisms; new, permanent, local capacity for personnel preparation; and commitments of non-federal support for model demonstration and dissemination.

It is significant that some projects in every one of the additional eight competition areas also claimed to have evidence of stimulating system improvements. In fact, in every case where a grantee could point to supporting data for having brought about or contributed to such improvements, they counted these accomplishments among the most important results of their grant projects, even if they were not in competition areas that were expected to contribute to Objective 3.

Constraints and Unresolved Issues

The lists of constraints and issues below pertain, in turn, to Strategy 6, Strategy 7, and Objective 3.

Strategy 6. Parent Organization Projects

Having only one POP grant in each state makes it impossible to meet needs of parents in large or populous states.

A persistent implementation problem has been reaching minority and rural parents.

Grantees' opinions differed on whether their objective should be to train trainers of parents, or to train parents directly. The latter requires an individualized approach, and is therefore more expensive.

Strategy 7. System Improvements

Time, money, and institutional inertia were the major constraints for bringing about system improvements: time to acquire the proficiency required of a "master" trainer who teaches others to replicate model practices; intense competition for states' special education funds; and resistance to changing established organizational behavior and structure.

Objective 3:

The Personnel Preparation Program presently lacks a composite picture (synthesized from a variety of sources) to use as a basis for decisions to maintain or to expand system capacity through the grant process. Without this information, it is quite conceivable to curtail system capacity unwittingly, as is the case when a decision not to support a grant disables a state from taking the next logical step in improving its personnel development program, or from undertaking activities that would otherwise take many more years to accomplish, given other state priorities and limited resources.

Summary

This analysis concludes that:

Strategies 6 and 7, parent organization projects and system improvements, can be implemented as intended through grant activities that are associated with Objective 3.

Data are available to indicate the number and nature of a wide variety of system improvements (including those involving parents and parent organizations). However, much of this information is likely to be threaded through narrative sections of grantees' final reports, making it difficult to extract and aggregate.

There was a very close fit among (1) critical needs areas documented in grant applications; (2) the programs, models, materials, and approaches that grantees developed; and (3) the training and assistance they delivered.

Summary of Findings on Program Plausibility

This section closes with the observation that none of the program objectives was strictly implausible. Moreover, support for these objectives through grant activities among projects in the study sample was much broader based than might be assumed from the primary emphases portrayed in Figure 2. Grant projects implemented strategies and pursued objectives in addition to those expected to be their primary emphasis. (This is no surprise to DPP staff or to the work group, who intended Figure 2 to provide a gross classification, useful for focusing data collection and analysis in the goal evaluation, and for indicating the program's overall strategic plan.)

VI. CONCLUSIONS AND RECOMMENDATIONS

Introduction

Section I of this report described program logic through figures and text that explained the federal strategies being implemented through the grant program to reach program objectives, and assumptions about how these actions are expected to contribute to these objectives.

Sections III and IV analyzed information from 56 project reviews as a basis for assessing the validity of the logic and assumptions underlying the Personnel Preparation Program (as it operated in FY86), and for judging the extent to which the strategies are being implemented and results are being achieved that support federal program objectives.

Section V reexamined this information to draw conclusions about the reasonableness of expecting the Personnel Preparation Program to achieve its stated objectives if strategies continue to operate as observed in the study sample, with similar results and supporting data.

The generally positive findings in the preceding chapters support the conclusions that follow, but also indicate areas that could profit from further examination.

Conclusions*

Strategies Can Be Implemented Through Grant Activities To An Extent That Supports Program Objectives

and

Project Results Support Program Objectives

All projects in the sample were judged to be (1) implementing the federal strategies that were expected to be their primary emphasis and, in addition, (2) one or more of the strategies associated with other program objectives (and competition foci). Overall, the nature of quantitative and qualitative evidence of grantees' activities and accomplishments, provided elsewhere in this report, indicates a good fit with federal expectations and with program objectives.

Therefore, prospects are positive that the Personnel Preparation Program, by pursuing federal strategies through its grant programs, can make progress toward increasing the number of qualified personnel to serve handicapped children and youth, improving their quality, and expanding the capacity of the system for personnel development.

Many Project Results Are Well Documented

Nearly 80% of the study sample (representing nine competition areas) claimed to be achieving outcomes, backed up with quantitative data, that pertain to the first program objective, "to produce more qualified personnel." The most readily available data included: numbers of individuals recruited, trained, and graduated (by level and specialty); number of program graduates who subsequently enter careers in special education in roles and areas for which they were trained; number and nature of grantees' training, technical assistance, and dissemination activities; and the number and nature of the models and materials they developed.

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* Section II described the goal evaluation methodology, and Sections IV and V reiterated its implications for interpreting findings and conclusions. These caveats are not repeated here.

Over 30% of the study sample (representing four competition areas) reported outcomes and claimed to have data to support the second progam objective, "to improve the quality of personnel trained." These data, however, are subjective and qualitative. For example, data that grantees in the study sample were documenting on model quality, improved competence, and use of state-of-the-art practice in personnel preparation consisted mostly of subjective assessments of "experts," of project staffs (who may both design and implement the model during its developmental tryout), and of participants' instructors or supervisors. Although soft, such data served the formative evaluation needs of these model and program development projects very well. Moreover, as these three-year grant activities presently operate, it may not be feasible to expect grantees to obtain data that would rigorously support this federal program objective. (See last conclusion below.)

More than 75% of the study sample (representing all eleven competition areas) reported outcomes that constituted a wide variety of system improvements which would support the third program objective, "to expand the capacity of the system for personnel development." However, these data will probably not be reported in a form that makes it feasible for federal program staff to extract and aggregate.

The above types of information address information needs of the Personnel Preparation Program, OSERS, and others interviewed in the course of the goal evaluation, if aggregated and summarized for competition areas, and for major types of grant activity.

Program Logic and Assumptions Are Valid

In the type of analysis characteristic of a goal evaluation, judgments of the validity of program logic and assumptions, and of the plausibility of program objectives, are based on evidence of "congruence," rather than by testing cause-effect linkages. In this case, the evidence presented in Sections III, IV, and V shows that (1) there is very good consistency between expected and reported emphases on federal strategies through major kinds of grant activity, and (2) the results and corroborating data that grantees' claimed to have will support Personnel Preparation Program objectives. In

short, no major incongruities with the logic model or the assumptions are apparent.

One aspect of these findings requires clarification. Figures and text in earlier chapters showed that the most mileage toward objectives was expected to come from certain clusters of projects, but explained that this gross classification was not meant to suggest an exclusive emphasis on a particular strategy or objective. In fact, the Personnel Preparation Program expects that individual projects may implement strategies and pursue program objectives in addition to those expected to be their primary emphasis.

This was the case for the 56 projects in the study sample, which suggests that support for Personnel Preparation Program objectives is broadly based. Such broad support also suggests that the processes and outcomes represented in the logic model, and elaborated in the assumptions, can occur at a level of performance that justifies expectations about the Personnel Preparation Program's ability to achieve its objectives.

Model Development, Evaluation, and Dissemination Presently Can Be Implemented Only To A Limited Extent

The reality is that this strategy can be implemented only to a limited extent within a three-year grant, with most of the effort going to model development, promoting awareness of the model, and distributing information about it to potential users during its developmental tryout. Although a wide variety of potential users expressed serious interest in the model approaches that were developed by grantees in the study sample, there was little opportunity within the grant period to provide them with implementation assistance. Formal testing of models (and new programs) by projects in the study sample was not the norm, nor was objectively assessing whether these improved approaches led to improved practice.

Recommendations*

There are two sets of recommendations here. Both follow from the findings and conclusions of the goal evaluation. The first set suggests actions that the federal program managers can take now to fill information gaps and improve program functioning. The second set suggests candidate topics that could be examined further in the strategy evaluation phase.

1. Utilize readily available data to address critical information needs about outcomes of the Personnel Preparation Program.

Earlier in the goal evaluation, the Program Documentation Report pointed out that federal-level staff want quantitative data about what is being produced through grants from the Personnel Preparation Program. The goal evaluation concluded that quantitative data relevant to most of these information needs is readily available.

The most readily available quantitative data in summary form is what grantees must report once a year on the Annual Performance Report, nicknamed "the 98-199 form" by program staff. Data on the 98-199 form would meet information needs about numbers of individuals trained, receiving degrees, and certified through grants from the program, by category and level of training.

In addition, numbers of individuals recruited, and numbers who then are employed in roles for which they were trained, are data that grantees in the study sample said they would include in their final reports. This information can be aggregated and summarized (for all grantees) to fill additional information gaps that the goal evaluation noted.

In the same fashion, information in grantees' final performance reports can be aggregated to indicate numbers of training models developed, for what content areas, for what target roles and levels, and the nature and reach of dissemination activities to interest others in implementing the models.

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* Recommendations for improving "federal program inputs by DPP" were presented earlier and are not repeated here. See Section III, pages 56 (grant award process), 61 (grant administration), 64 (DPP leadership), and 68 (coordination and collaboration).

Three important information gaps remain that the Personnel Preparation Program should fill: (1) the absence of rigorous data on the quality and effectiveness of model programs that grantees develop; (2) data to meet information needs of the "Leadership" competition area; and (3) empirical evidence from a user's perspective that the personnel trained and the models produced by grantees are high-quality and meet identified needs for such products. Some of these information gaps could be addressed during the strategy evaluation phase (see Candidate Topics for the Strategy Evaluation).

2. Redefine the current strategy (and outcomes expected) for three-year model development, evaluation, and dissemination grant projects.

The goal evaluation concluded that within a three-year grant period, models (and newly developed programs) can be subjected to expert peer review and developmental tryout and revised accordingly, but may or may not be in a format suitable for field testing. Grantees can document outputs and outcomes indicated for model and program development grants, but within the limitations noted for the study sample. (See Tables 7 and 8 in Section IV.)

Given the much more prominent emphasis on "models" in the FY87 announcement for Personnel Preparation Program grants (e.g., even for those program development, improvement, and support activities that historically have focused on personnel production), define acceptable quality-control procedures for developing new programs or improving existing ones, and for putting them in an exportable form. Then, provide this information to grantees, and support related technical assistance. (Parent projects may also perceive themselves as "model developers," and so would also benefit from this clarification and support through the TAPP contract.)

Second, if the best of these products are to have broad impact, the Personnel Preparation Program needs to take these additional steps.

- Support independent field-tests of models that appear to have broad significance for the field of personnel preparation.
- Package validated models in exportable formats.

- Provide adopters with the assistance they need to implement the models successfully.

- Provide leadership by developing and implementing a suitable system for sharing these promising models and practices.

Information that would be needed to plan these steps could be developed during the next phase of the evaluation (see Candidate Topics for the Strategy Evaluation).

3. Extend grantees' efforts to promote system improvements.

In FY86, grant announcements for only three of the competition areas directly encouraged grantees to promote system improvements (SEA Projects, Regular Educators, and Parent Organization Projects). Yet over three-fourths of the study sample (43 projects) said they had brought about system improvements (Strategy 7), and some of these improvements achieved a permanence during a three-year grant that contributed to institutionalization (Strategy 8).

Every possible piece of the larger system for personnel preparation seemed to be represented in the array of institutional contexts for these projects. In describing their efforts, this diverse assortment of grantees said that such improvements were among the most important accomplishments of their federally funded grants, even if these fundamental changes were spinoffs, or byproducts of their projects.

Given grantees' broad commitment and ability to stimulate system change, the Personnel Preparation Program should consider additional ways of encouraging and assisting them to do so. For example, require the grant applicant to indicate how proposed activities address each of several federal strategies in a way that engages and serves different pieces of the system for personnel preparation: at the grantee's institution, and in the state and region that the institution serves.

A second recommendation is to take steps to define and pursue a systemic approach to managing all aspects of the Personnel Preparation Program. This

means considering the system when selecting priorities for competition, focusing competitions, defining technical review and evaluation processes for grant applications, and so forth.

4. Reexamine resource allocations for parent organization projects.

Funds allocated for the Parent competition are presently used to establish some grant activity in every state. In making this decision, federal program managers weighed the expected benefits of "getting something going in each state" with the obvious negatives: low visibility; and the impossibility of identifying and reaching a large number of parents, or of addressing comprehensively their needs for information and technical assistance.

The study team's recommendation is to obtain information from the technical assistance contractor (TAPP) on difficulties grantees experience in trying to achieve project objectives given present resource allocations. Then, if the decision is to continue with the present allocation scheme, address the difficulties through the TAPP contract or some other mechanism.

Candidate Topics for the Strategy Evaluation

A strategy evaluation is the second stage of the two-stage evaluation approach being used to review the discretionary programs under the Education of the Handicapped Act. The primary objective of the strategy evaluation will be to develop focused information on a particular program strategy that will respond to the needs of OSEP management and staff, and that will identify ways of improving the strategy.

The mechanism is a flexible one, and may include: exploration of issues identified during the goal evaluation stage; exploration of alternative strategies to those currently employed for the program; and development of additional information to fill information gaps identified during the goal evaluation. The findings from the goal evaluation suggest that any one of the following topics would be good candidates for the Personnel Preparation Program strategy evaluation phase.

Targeting critical needs (Strategy 2). The new (1986) amendments add language on "projected" needs to existing language on directing Personnel Preparation Program resources to meet shortages of personnel (all levels). OMB continues to push the program for information to demonstrate that its training grants are producing personnel to meet shortages. OSERS/OSEP want to see comprehensive planning for personnel development (and its products, states' CSPD plans) achieve full potential so that states can be expected to focus efforts on meeting their acknowledged needs and priorities for personnel development.

Thus, pressures are increasing for visibly and proactively managing the program to meet shortages. Based on information produced by the goal evaluation, requiring grantees to document shortages in their proposals as justification for funding their activities may be viewed as inadequate and unresponsive.

Developing an independent source of reliable information on critical shortages (current and projected) is undoubtedly beyond any single OSEP division's capacity or responsibility. Nevertheless, a strategy evaluation could develop information to improve the federal program's understanding of and ability to use data that can be collected to identify personnel shortages in special education.

Recruitment and retention (Strategy 1). At present, the Personnel Preparation Program supports grantees' recruitment efforts by providing funds for stipends. Grantees acknowledge that without stipends, they would not be able to attract sufficient quantities of strong candidates for preparation as special educators, related services, and leadership personnel. However necessary, stipends are not a sufficient condition for effective recruitment, and grantees in the study sample used a variety of non-monetary tactics to attract, screen, and retain well-qualified and committed individuals to their personnel preparation programs.

How can lessons learned from these (and other) recruitment efforts be identified and communicated to grantees? A strategy evaluation could identify

effective recruitment efforts in areas of nationally recognized critical shortages, and for traditionally underrepresented groups.

What are implications of the national clearinghouse on recruitment and employment opportunities (1986 amendments) for the Personnel Preparation Program, its strategies, and its grant activities?* A strategy evaluation could look at project-level and system-level elements of this strategy.

Leadership development (Strategy 4). No existing data system (including CSPD) provides useful information for demonstrating that leadership development is directed at producing doctoral-level personnel who will meet critical needs in the field of personnel preparation, special education research and program development, and so forth. To be useful for long-range planning, these data should enable federal program managers to estimate current needs as well as needs in five years, ten years, etc.

More generally, the Chief of DPP's Leadership Branch indicated the need for better data on what kinds of activities graduates actually carry out after completing doctoral programs. Do they themselves go into teaching and into the preparation of new personnel? Do they go into practice instead? Do they actually conduct leadership activities directed at improving the quality of programs and practices in the field?

The study team recommends that filling these information gaps be considered when making choices for focusing strategy evaluation resources.

Model development, evaluation, and dissemination (Strategy 3). One of the recommendations at the beginning of this section was that the federal program develop and implement a suitable system for sharing high-quality personnel preparation models, materials, and other products that are developed by its grantees.

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* The new amendments (Section 310[c]) define clearinghouse activities that are pertinent to Strategies 1, 2, 5, and 7.

If this recommendation is to be implemented, information could be developed through the strategy evaluation that would identify important elements of a sound diffusion plan. For example, the strategy evaluation could answer these questions:

- What federal strategies might be implemented to select the best of these models and programs for formal evaluation? For broad dissemination?
- What lessons can be learned from other federally-sponsored efforts to identify, validate, and disseminate exemplary practice? From the considerable federal experience in funding and managing national demonstrations?

The next phase of the evaluation will examine one or more strategies which seem to be most critical for achieving Personnel Preparation Program objectives.

Of course, a strategy's "criticalness" is a matter of judgment, and must take into account factors beyond those addressed by a goal evaluation. These additional factors include changes in policies and plans that have shaped the Personnel Preparation Program's strategic emphases in FY87, modifications in individual competition areas for FY87, changes in personnel at senior management levels in OSEP and DPP, and so forth.

The work group will consider the above factors and the findings, conclusions, and recommendations in this report in exploring how the strategy evaluation phase can be focused most profitably for program improvement.

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2 of 2

American Institutes
for Research

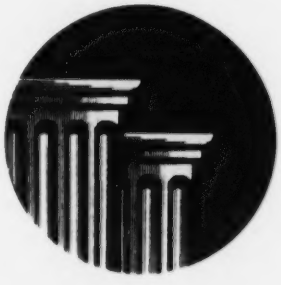
**Evaluation of Discretionary Programs
Under the Education of the Handicapped Act:
Personnel Preparation Program**

A project of American Institutes for Research
as subcontractor to COSMOS Corporation

Technical Appendices to the Final Goal Evaluation Report

March 31, 1987

Prepared for Office of Special Education Programs
U.S. Department of Education
under Contract No. 300-85-0143 to COSMOS Corporation



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Appendices

A. Protocol for Project Reviews

B. Project Review Instrument

C. Competition Areas

D. The Study Sample

E. List of Persons Interviewed

F. Bibliography of Program-Related Documents

APPENDIX A

Protocol for Project Reviews

PROTOCOL FOR PROJECT REVIEWS
FOR THE GOAL EVALUATION OF THE PERSONNEL PREPARATION PROGRAM

Reviewers will follow this protocol, using the instrument in Appendix B, as closely as possible in reviewing projects. Each project review will have three steps, described in detail below:

1. Determine sources of evidence and schedule data collection.

2. Collect data.

3. Complete the project review instrument.

Determine Sources of Evidence and Schedule Data Collection

Every review will be based on several sources of evidence. Where two or more sources of evidence cover the same topics, the more recent sources will be given credence over older ones. Sources will include:

- the initial program solicitation leading to the grant award (e.g., FY 1984 grants announcement);
- initial and continuation proposals (e.g., FYs 1984, 1985, and 1986);
- technical review/evaluation and award documentation;
- progress reports and performance reviews, if available;
- documentation of results of grant projects, e.g., data on the previous year's accomplishments which are appended to the beginning of a continuation proposal, or which may be described in it;
- products or deliverables from the grant project;
- 60-minute telephone interview with the project director (or principal investogator);
- 30-minute telephone interview with the DPP project officer or other DPP staff member, whoever is most knowledgeable about the project and the federal "program inputs" that are related to the project and its competition area; and
- literature and other selected sources that are relevant to the project or its competition area, to its institutional or state context, or to presenting findings of the goal evaluation for clusters of federal strategies and grantee activities.

The DPP project officer(s) will be alerted that the review is to take place and asked to provide contact information and to assemble all relevant materials. The project officer and the reviewer will also agree on a time for the DPP interview.

The letter at the end of this protocol will be mailed to the director of each project to be reviewed, followed by a telephone call to (a) confirm agreement to participate, (b) re-emphasize confidentiality of information, and (c) schedule a telephone interview.

Collect Data

Reviewers will study files for their assigned projects before interviewing project directors or DPP project officers. Then they will partially complete the instrument in Appendix B for each project, based on these file reviews.

Interviews with project directors and DPP project officers have several purposes:

- to confirm selected information from file reviews;
- to explore in some depth the nature of grantee activity and the implementation of federal strategies through that activity;
- to identify major accomplishments and longer-term outcomes of grantee activity; and
- to obtain the project director's and the DPP project officer's perceptions of the (a) logic by which grantee activity and federal strategies are intended to further the objectives and ultimate goal of the Personnel Preparation Program, and (b) opportunities that exist for improving program plausibility and performance.

The instrument in Appendix B establishes the approximate boundaries for the reviewer's inquiry, but does not propose a standard set of questions. Instead, the probes and the examples of evidentiary information suggested in the instrument are intended to stimulate the reviewer to explore certain topics in depth, and to ensure that the reviewer's notes provide a rich source of information on which to base answers to questions that the goal evaluation must address.

Because the instrument is designed for the reviewer (as respondent), there are no separate instruments for interviews of the project director and the DPP project officer.

Complete the Project Review Instrument

The instrument contains a set of questions that will be answered by the reviewer, based on the evidence available. Care will be taken to ensure that the reviewer's responses:

- clearly distinguish between facts and inferences from, or anaysis of, these facts;
- use footnotes, with the appropriate citation to a specific document or interview to indicate the sources of the information; and
- can be understood by a "cold" reader or analyst.

Level of Effort

Each project review will require approximately nine (9) hours, on the average. Reviewers will follow these guidelines in managing their effort to complete the steps just described:

Determine sources of evidence and schedule data collection	.75 hr.
Collect data:	
- Review files and other documents.	2.75 hrs.
- Interview project director.	1.00 hr.
- Interview DPP project officer	.50 hr.
Complete the project review instrument. . .	4.00 hrs.
Average time required for one project review	9.00 hrs.

SAMPLE FORM LETTER TO PROJECT DIRECTORS

(Project Director's Name and Address)

Dear :

The Office of Special Education Programs (OSEP) in the U.S. Department of Education has requested reviews of five programs under the Education of the Handicapped Act. The purpose is to gather information on the overall functioning of these programs that will help federal managers improve them.

The American Institutes for Research (AIR) is participating with COSMOS Corporation, a social science research firm, in the program reviews which began in October 1985 and will continue for the next two years.

The Personnel Preparation Program is the third program to be studied. As part of our information gathering, the AIR team is interviewing a sample of the program's project directors by telephone about their experiences as funded projects.

We would like to interview you (or your representative) by telephone, and hope you will agree to assist us. This interview will last from 45 minutes to one hour, and will cover the following general areas:

- goals and objectives;
- activities and strategies;
- logic or rationale whereby project activities and strategies are to attain goals and objectives;
- accomplishments and nature of supporting evidence; and
- obstacles or frustrations encountered.

The information you provide will NOT be used to evaluate your individual project, but will be aggregated with information from approximately 60 other projects to develop a more complete description of the overall functioning of the Personnel Preparation Program.

We do not expect you to prepare in advance for our telephone call, other than identifying the person we should interview, if that is not yourself. However, if you do have on hand summary information about what your project has accomplished that was not included in your

continuation proposal--quantitative or descriptive summaries--we would be interested in discussing these with you when we telephone you.

We will appreciate your assistance and cooperation very much. An AIR staff person will contact you soon to confirm your willingness to participate and to arrange a convenient time for the interview. Before interviewing you, that person will review information about your project that is already available from files at the federal program office.

The enclosed brochure provides more information about the review approach.

Sincerely,

Peggie L. Campeau

Enclosure

APPENDIX B

Project Review Instrument

PERSONNEL PREPARATION PROGRAM GOAL EVALUATION

PROJECT REVIEW INSTRUMENT

The AIR reviewer will provide the responses to items in this instrument, first, by studying project records that DPP provides; and second, by interviewing DPP project officers or staff, grant project directors, and TAPP contract and subcontract managers.

The instrument consists of six sections. Titles for sections B through F are similar to headings that appear in the "Personnel Preparation Program Logic Model" and in the charts for competition areas in the Program Documentation Report, Sections II and III, respectively.

A. Basic Descriptive Information About the Project . . . . . Page 2

B. Grantee Activities. . . . . Page 4

C. Intermediate Outcomes . . . . . Page 11

D. Ultimate Program Goal . . . . . Page 14

E. Federal Strategies. . . . . Page 15

F. Federal Program Inputs. . . . . Page 24

Each section (except Section A) begins with an overall protocol question and describes the purpose of the section. The section then has a list of probes that will guide the reviewer in addressing the topic of the section. Next, a list of illustrative evidence will help the reviewer to determine whether or not specific types of information are available on the project.

The purpose of this project review is to obtain sufficient information about a project to determine its alignment with the federal program goal and objectives. The purpose is NOT to collect voluminous amounts of information for preparing detailed project descriptions.

I.D. #: _____

AIR Reviewer: _____

A. BASIC DESCRIPTIVE INFORMATION ABOUT THE PROJECT

Project Title: _____

PR #: _____

GOO #: _____

Competition Area:

__ Special Educators
__ Related Services Personnel
__ Rural
__ Infant
__ Minority
__ Transition
__ Leadership
__ Special Projects
__ Parent Org. Projects
__ SEA Projects
__ Regular Educators

Agency Type:
__ Institution of higher education
__ Private, nonprofit organization
__ SEA
__ Other _____

Name of Agency:

Name of Project Director: (__Dr. __Ms. __Mr. __Mrs.) Phone:

_____

Title: _____

Address:

Name of DPP Project Officer: Phone:

Name of DPP Competition Manager: Phone:

Other Contact(s): Phone(s):

Funding:

Initial Year of SEP (or BEH) Funding for This Project:

__ FY 84
__ Other (Explain)

SEP Funding Amount (entire performance period): $

Other Funding for This Project (list below):

Source	Performance Period	Amount
-		
-		
-		
-		

Staff:

Number	FTE	Type (Position & Discipline)
_____	___	_____
_____	___	_____
_____	___	_____
_____	___	_____

Emphasis of Grantee Activity

__ (New) Program Development
__ Program Improvement
__ Program Support
__ Stipends
__ Model Development and Dissemination
__ Technical Assistance and Information

Federal Strategies Receiving Most Emphasis Through Grantee Activity

__ Recruitment/Retention
__ Targeting Critical Needs Areas

__ Model Program Development and Dissemination
__ Leadership Development
__ State & Professional Standards

__ Parent Organization Projects
__ Building System Capacity
__ Institutionalization

B. GRANTEE ACTIVITIES

PROTOCOL QUESTION: WHAT MAJOR GRANTEE ACTIVITY DOES THIS PROJECT REPRESENT?

The grantee activities characterized below are the major avenues through which the Personnel Preparation Program pursues federal strategies for achieving program objectives. These three categories of grantee activity appeared as column headings in Figure 1 of the Data Collection Plan:

1. Training program (a) development, (b) improvement, or (c) support, including (d) stipends

2. Model program development, evaluation, dissemination

3. Technical assistance and information

The probes and the illustrative examples of evidence below will focus document reviews and telephone interviews on elements one would look for to determine if a particular activity is actually present in a grant (or contract).

The examples of evidence include the "outputs" that were listed in charts for the competition areas in Section III of the Program Documentation Report. These are relatively short-term results, such as numbers and types of persons trained, models produced, assistance and information provided. Longer-term results, such as what persons DO afterwards who are exposed to training, models, assistance, and information, are addressed in a separate section of this instrument (see section C, "Intermediate Outcomes").

While the expectation is that a project will emphasize one of the three activities, conceivably all three activities could be present. Therefore, every project review will inquire about all three types of activities.

NOTE: Every competition area EXCEPT "Special Projects" and "Parent Organization Projects" is expected to fit best under 1(a), OR 1(b), OR 1(c), AND may also fit under 1(d).

1(a). Is it primarily a training PROGRAM DEVELOPMENT project?

Probes:

- grantee's perception of the:

  -- federal objectives for this type of grant

  -- congruence between federal objectives and the project's objectives

- specific needs that were not met by training activity that existed prior to FY 1984

- features that distinguish this "new" training activity from what existed prior to FY 1984

- nature of the development process (who, what, when, why, how)

- grantee's view of the most significant accomplishment or activity of the project

in order to:

"produce more high-quality personnel to meet current and emerging needs of handicapped children and youth."

Illustrative evidence:

- number and nature of new courses and materials developed

- number, types, and levels of individuals who:

  -- receive training
  -- complete training (or fail to)

- types and amounts of training provided

1(b). OR,
Is it primarily a training PROGRAM IMPROVEMENT project?

Probes:

- grantee's perception of the

  -- federal objectives for this type of grant

  -- congruence between federal objectives and the project's objectives

- specific needs that were not met by training activity that existed prior to FY 1984

- features that distinguish this "improved" training activity from what existed prior to FY 1984

- nature of the improvement process (who, what, when, why, how)

- grantee's view of the most significant accomplishment or activity of the project

in order to:

"produce more high-quality personnel to meet current and emerging needs of handicapped children and youth."

Illustrative evidence:

- number and nature of courses and materials improved
- specific improvements in courses and materials
- number, types, and levels of individuals who:
  -- receive training
  -- complete training (or fail to)
- types and amounts of training provided

1(c). OR
Is it primarily a training PROGRAM SUPPORT project?

Probes:

- grantee's perception of the
  -- federal objectives for this type of grant
  -- congruence between federal objectives and the project's objectives
- grantee's view of the most significant accomplishment or activity of the project
- number of continuous years of Personnel Preparation Program funding for training activity
- budgetary or contextual factors that suggest why federal support has been vital to the survival of the training program

in order to:

"produce more high-quality personnel to meet current and emerging needs of handicapped children and youth."

Illustrative evidence:

- proportion of grantee's institutional budget that has come from the Personnel Preparation Program annually for the past "X" years
- number of FTE special education program staff paid for by grant as a percentage of total staff in that program
- numbers, types, levels of individuals who:

  -- receive training
  -- complete training (or fail to)

- types and amounts of training provided
- numbers and types of materials and courses developed or revised

1(d). Does the project emphasize the provision of STIPENDS?

Probes:

- dollar amount and number of stipends
- criteria for eligibility for stipends

in order to:

> "attract strong candidates who will prepare for, enter, and remain in special education to provide services to handicapped children and youth, to train others, or to lead efforts to expand or improve the system for personnel development."

Illustrative evidence:

- numbers and types of individuals receiving stipends
- ratio of stipend dollars to faculty salary/administrative dollars that the grant provides
- number of participants receiving stipends as a percentage of total enrollment in the special education program
- degree/certificate completion rate for students receiving stipends compared to rates for "regular" students in the special education program
- indicators of the quality of full-time graduate students and PhDs that stipends attract and support

2. Is it primarily a MODEL DEVELOPMENT, EVALUATION, AND DISSEMINATION project?

NOTE: "Special Projects" are expected to fit best in this category of grantee activity. However, projects in other categories may include model development, evaluation, and dissemination.

Probes:

- grantee's perception of the
  - -- federal objectives for this type of grant
  - -- congruence between federal objectives and the project's objectives
- name and nature of model
- aims of model stated as objectives, competencies, standards
- sources utilized to establish:
  - -- need for model
  - -- "quality" of model (e.g., "Baseline Book")
- respects in which this model has "broad significance" for the field of preservice and/or inservice personnel preparation
- how its effectiveness, replicability, and transportability are to be (or have been) established
- nature and extent of these project activities:
  - -- product development (the implementation model)
  - -- product demonstration
  - -- data collection and analysis activities
  - -- promoting awareness of the model
  - -- product dissemination
  - -- orientation to the model for its potential consumers
  - -- training trainers to use the model
  - -- other training by grantee, using the model
  - -- consultation

  in order to:

  "stimulate the field of personnel preparation to implement such exemplary approaches, which in turn will make available more high-quality personnel to deliver services to handicapped children and youth."

Illustrative evidence:

- model or product developed, i.e., nature of curricula, books, teacher guides, and modules produced

- evaluation of model or product, i.e., competencies demonstrated, standards met by trainees; types and levels of personnel for which model is applicable; indicators of "quality" met by product

- dissemination of model or product, i.e., number and types of materials, presentations, or publications disseminated over an "X"-year period to promote replication of the model practices; number and types of dissemination activities planned; extent of ongoing capability to disseminate model

- dissemination targets, i.e., number and type of dissemination efforts directed at special educators, related services personnel, administrators, trainers, developers, parents, others; number, nature, and geographic distribution of dissemination activities

- replication, i.e., extent to which concepts and procedures contained in the model are actually used (conceptually or instrumentally) to improve subsequent training projects

---

3. Is it primarily a TECHNICAL ASSISTANCE AND INFORMATION project?

NOTE: "Parent Organization Projects" and TAPP are expected to fit best in this category of grantee activity. However, projects in other categories may include technical assistance and information services.

Probes:

- key features of technical assistance content and approach

- nature and extent of these project activities:

  -- assistance or informational activities aimed at specific sites, audiences

  -- identification of effective strategies for providing assistance and information aimed at specific sites, audiences

- characteristics of target audience(s) for training and information

in order to:

> "stimulate improvements in training and system capacity that make available more personnel and parents who are able to provide effective education and related services to handicapped children and to interact effectively with the system on their behalf."

Illustrative evidence:

- numbers, types, levels of individuals who, over an "X" year period:

  -- request assistance and information
  -- receive assistance and information

- number and nature of assistance and information provided over an "X"-year period

- numbers and types of materials, curricula, programs, presentations, or publications developed or revised over an "X"-year period

- competencies and knowledge demonstrated by those assisted

- examples, if any, of perceived usefulness of assistance and information

C. INTERMEDIATE OUTCOMES

PROTOCOL QUESTION: TO WHAT EXTENT DID THE PROJECT ACHIEVE RELEVANT INTERMEDIATE OUTCOMES?

(If the judgment is premature, describe when the outcomes will occur and why the judgment is premature.)

These are the longer-term results that may be attributable to the project (at least partially), and that fall on a continuum somewhere between short-term project results ("outputs") and the ultimate goal of the Personnel Preparation Program. Longer-term results include effects that appeared in the "outcomes" column of the charts for the competitions in Section III of the Program Documentation Report.

These effects lie beyond merely exposing people to training, models, assistance, and information. Instead, "intermediate outcomes" address the questions, "What do persons trained do afterwards? Are model training programs replicated? By whom? With what effect on quality of personnel trained? On system capacity? For whose benefit? How does this fit or not fit with federal program aims and strategies?"

---

1. Did it increase the QUANTITY of qualified personnel?

DEFINITION: Producing specialized personnel who are (a) qualified to meet current and emerging needs of handicapped children and youth, and who (b) go on to provide them with educational and related services (all levels), in areas appropriate to their qualifications.

Illustrative evidence:

- documentation that individuals who complete training programs (all levels) enter or are retained in the special education/related services field, e.g., numbers, types, and levels of individuals who:
  - -- indicate their intention to enter careers in special education upon completion of training
  - -- indicate their intention to go on to more advanced levels of preparation for careers in special education
  - -- actually go on to serve handicapped children and youth in areas appropriate to their qualifications
- documentation, if any, of post-graduation activities of recipients of "leadership" stipends

- documentation that the types and levels of personnel completing the specialized training are congruent with:
  -- critical needs identified by grantees
  -- critical needs identified by others

- extent to which such qualified personnel report that their training assisted them on the job

---

2. Did it improve the QUALITY of personnel?

DEFINITION: Producing leadership, knowledge, models, and techniques that (a) stimulate other training programs to use state-of-the-art personnel preparation practice at all levels, which in turn (b) produce high-quality personnel who (c) meet or exceed professional and state standards for specialized personnel to serve handicapped children and youth.

Illustrative evidence:

- use by training programs of state-of the art practices that are appropriate for preservice and inservice training of specialized personnel (all levels)

- increased numbers of persons who, upon completion of training in these programs, meet or exceed professional and state standards and other indicators of "quality" for various types of specialized personnel (all levels)

- increase in doctoral level personnel qualified to train teacher trainers, do research, and administer special education programs

---

3. Did it EXPAND SYSTEM CAPACITY for personnel preparation?

DEFINITION: Influencing the system directly or indirectly to (a) identify and meet local, state, regional, and national needs for trained and certified personnel, and for regular educators qualified to work with handicapped children and youth in least restrictive environments, and to (b) sustain these personnel preparation programs after federal support for them ends.

Illustrative evidence:

- sources, amounts, and percentages of grantee institution's total special education program financial support from nonfederal sources for the past "X" years

- extent to which "graduates" of parent training projects engage in productive interactions with the educational system on behalf of their handicapped children

- institutional policies and actions taken as a result of grantee activity that increase the system's responsibility and capacity for personnel preparation, e.g.,:

  -- support for personnel development (all levels)

  -- financial assistance for training program participants

  -- support for model development, evaluation, demonstration, and dissemination

  -- support for technical assistance and information services related to personnel development (all levels), including regular educators and parents

D. ULTIMATE PROGRAM GOAL

PROTOCOL QUESTION: HOW DID PREPARATION OF SPECIALIZED PERSONNEL ENHANCE EDUCATION AND RELATED SERVICES FOR HANDICAPPED CHILDREN AND YOUTH?

1. Was it the effective use of skills acquired in the training program?

   Probes:

   - direct evidence regarding handicapped students'

     -- educational attainments
     -- economic self-sufficiency
     -- social self-sufficiency

     that can be linked causally to:

   - the use of skills acquired in training.

   Illustrative evidence:

   - evaluation studies at the school, classroom, and community level

E. FEDERAL STRATEGIES

PROTOCOL QUESTION: WHAT FEDERAL STRATEGIES WERE USED BY THE PROJECT?

ALSO, what is the logic or rationale whereby the project's activities (and the federal strategies they represent) are intended to further one or more of the three objectives of the Personnel Preparation Program?

By this point in the instrument, the reviewer will have:

- established the type of grantee activity represented by the project;
- collected information regarding intermediate outcomes, which are the longer-term results that further federal program objectives (increase the QUANTITY and improve the QUALITY of personnel trained, and expand SYSTEM CAPACITY for personnel development), and
- identified outcomes (if any) that further the ultimate goal of the Personnel Preparation Program--"to enhance education and related services for handicapped children and youth through the preparation of specialized personnel."

The purpose of this section of the instrument is to guide the reviewer in (1) establishing the federal strategies represented in the grantee activity, as the project has actually operated, and (2) making explicit the logic (rationale) whereby grantee activity is intended to further the objectives and ultimate goal of the Personnel Preparation Program.

The Program Documentation Report lists eight (8) strategies that the Personnel Preparation Program pursues to achieve the three program objectives. Figure 1 in the Data Collection Plan shows the presumed relationships among the three objectives, the eight strategies, and major categories of grantee activity. It implies that all projects in a particular cluster will represent best the strategies associated with that cluster. For example, "SEA Projects" and "Regular Educator" projects will best exemplify the three system capacity strategies, presuming these grant activities are implemented as intended.

In actual practice, however, the relationships will not be as clearcut as Figure 1 suggests. The eight strategies, when implemented through grantee activities, may turn out not to be mutually exclusive. Moreover, individual projects in the clusters depicted in Figure 1 may emphasize strategies that are different from, or in addition to, the strategy(ies) attached to their particular priority area. Therefore, the reviewer will attend to ALL EIGHT strategies in reviewing grantee records and interviewing the project director, regardless of where the project was originally presumed to fit in Figure 1.

1. Was there evidence that RECRUITMENT and RETENTION were utilized?

Probes:

- methods implemented to:
  - -- attract and retain strong candidates until they complete training (all levels)
  - -- encourage "completers" to enter roles appropriate to their training
- criteria used to identify strong candidates

so that:

> "strong candidates are more likely to prepare for, enter, and remain in careers in special education, and thereby increase the (QUANTITY) of individuals specially trained to serve handicapped children and youth."

Evidence:

- actions taken by grantee to attract and retain strong candidates
- how these actions were supported
- numbers, types, and levels of individuals recruited by grantee
- documentation, if any, that these actions increased training enrollment and completion
- documentation, if any, that "completers":
  - -- indicate their intent to fill roles appropriate to their training and qualifications
  - -- actually take on such roles
- document the logic/rationale whereby grantee activity (including the above elements) furthers one or more of the three federal program goals

Plausibility and performance issues:

- gaps or flaws in the above logic/rationale
- major constraints or frustrations experienced, addressed, anticipated in attempting to recruit and retain strong candidates

2. Was there evidence that TARGETING CRITICAL NEEDS was utilized?

Probes:

- extent to which grantee implemented systematic procedures for assessing local, state, regional personnel training needs (or needs for models, or for technical assistance and information)

- extent to which systematically assessed needs affected:

  -- training design

  -- training opportunities provided in the locale, state, or region

  so that:

  "personnel preparation (or model development, or technical assistance and information) in areas of critical need will (increase the QUANTITY) of these types of qualified personnel (or models, or technical assistance and information)."

Evidence:

- actions taken and sources utilized to assess specific needs for personnel (or models, technical assistance, information)

- how project activities are presmued to ameliorate these needs

- document the logic/rationale whereby grantee activity, including the above elements, furthers one or more of the three federal program objectives

Plausibility and performance issues:

- gaps or flaws in the above logic/rationale

- major constraints or frustrations experienced, addressed, anticipated in attempting to target project activities to address areas of critical need

---

3. Was there evidence of MODEL DEVELOPMENT, EVALUATION, DISSEMINATION

in order to:

"promote the refinement and distribution of improved training methods of broad significance

for the field of preservice and inservice personnel preparation (all levels), which will (a) encourage replication of best practices by other training programs, leading to (b) inmproved QUALITY of personnel trained in these programs."

Reference: Information collected for Section B, "Grantee Activities," Question 2.

Evidence:

- description of model
- how model development, evaluation, demonstration, dissemination were supported
- ways in which the model has "broad significance"
- documentation, if any, that the model is effective, replicable, transportable
- documentation, if any, of target market interest in and/or actual implementation of model
- document the logic/rationale whereby grantee activity (including the above elements) furthers one or more of the three federal program objectives

Plausibility and performance issues:

- gaps or flaws in above logic/rationale
- major constraints or frustrations experienced, addressed, anticipated in attempting to:
  - -- develop model
  - -- determine its effectiveness and replicability
  - -- sustain demonstration and dissemination activities

---

4. Was there evidence of LEADERSHIP DEVELOPMENT?

Probe:

- methods used to develop doctoral and postdoctoral personnel who will go on to:
  - -- train teachers
  - -- do research
  - -- administer programs

  in order to:

"promote use of state-of-the-art methods in personnel preparation (all nevels), leading to improved QUALITY of these personnel."

Evidence:

- description of the leadership development activity

- how the activity prepares students to promote state-of-the-art practice, e.g., does it train doctoral and postdoctoral students to:

  -- do research?
  -- identify best practices?
  -- utilize effective training and administrative methods?
  -- other?

- documentation of the logic/rationale whereby grantee activity (including the above elements) furthers one or more of the three federal program objectives

Plausibility and performance issues:

- gaps or flaws in above logic/rationale

- time frame for progressing to positions of leadership in the field of personnel preparation

- major constraints experienced, addressed, anticipated in attempting to provide doctoral and postdoctoral programs that:

  -- incorporate and promote state-of-the-art practice
  -- prepare leadership personnel for careers in research, administration, and personnel preparation

---

5. Was there evidence that STATE and PROFESSIONAL STANDARDS were utilized?

in order to:

". . . ensure the QUALITY of personnel trained."

Evidence:

- presence of assurances in proposal(s)

- source(s) of standards and other quality indicators, e.g., "Baseline Book," latest guidelines from professional organizations, etc.

- nature and extent of interaction with standards-setting agencies and organizations

- documentation of how standards and/or indicators of quality were utilized and with what results

- document the logic/rationale whereby grantee activity (including the above elements) furthers one or more of the three federal program objectives

Plausibility and performance issues:

- gaps or flaws in above logic/rationale

- major constraints experienced, addressed, anticipated in utilizing state and professional standards, or other indicators of quality

---

6. Was there evidence of PARENT training and information activity?

in order to:

> "help (parents) influence the SYSTEM to develop and exercise its CAPACITY to meet the needs of their handicapped children."

Reference: Information collected for Dection B, "Grantee Activities," Question 3.

Evidence:

- description ofthe parent training, assistance, and information activity

- specific competencies and knowledge that parents acquired as a result of participating in the project

- indications of how, over "X" time, the training, assistance, and information provided is expected to help them influence the educational system to meet the needs of their handicapped children

- indications of the extent to which the project serves parents of all handicapped children in all categories

- document the logic/rationale whereby grantee activity (including the above elements) furthers one or more of the three federal program objectives

Plausibility and performance issues:

- gaps in the above logic/rationale

- major constraints experienced, addressed, anticipated in attempting to design and implement training and information programs that equip parents of handicapped children with:

  -- knowledge of their children's rights and the system's responsibilities

  -- effective strategies for working with the system on behalf of their children

---

7. Was their evidence of CAPACITY BUILDING?

in order to:

> "increase the system's capacity to meet local, state, and regional needs for trained and certified personnel, and for regular educators qualified to work with handicapped children and youth in least restrictive environments (which in turn) will INCREASE SYSTEM CAPACITY for personnel development."

Reference: Information collected for Section C, "Intermediate Outcomes," Question 3.

Evidence:

- ways in which the capacity of the system for personnel preparation improved as a result of support by the Personnel Preparation Program

- document the logic/rationale whereby these improvements are expected to provide more and better training opportunities to meet local, state, and regional needs for specialized personnel, including regular educators

Plausibility and performance issues:

- gaps or flaws in above logic/rationale

- major constraints or frustrations experienced, addressed, anticipated in attempting to improve the capacity of the system for personnel development

---

8. Was there evidence of INSTITUTIONALIZATION?

so that:

the CAPACITY OF THE SYSTEM for personnel development can "sustain personnel preparation programs . . . at all levels . . . after federal support for them ends."

Evidence:

- any increase in the level of nonfederal support for personnel development

- changes in organizational structures, institutional actions, policies, or other changes that indicate increased commitment to personnel development, including:

  -- increased number of budgeted positions for special education teacher trainers

  -- training opportunities for special education and related services personnel (all levels), regular educators, parents

  -- model demonstration and dissemination

  -- technical assistance and information services

- document the logic/rationale whereby these changes may enable the system to sustain personnel preparation (all levels, all areas) if federal support for it ends

Plausibility issues:

- gaps or flaws in above logic/rationale

- constraints on the system, e.g., inertia of system vis a vis emerging or new roles for special educatgion and

REVIEWER: Summarize the linkages between this grantee's activities (representing "N" federal strategies) and the three federal program objectives.

Grantee Activities (*)	Representing These Strategies (**)	Further These Program Objectives (***)	Indicate Page Ref. in this Instrument

(*) Identify major activities and code each one as indicated below.

1(a) NEW program development?
1(b) program IMPROVEMENT?
1(c) program SUPPORT?
1(d) providing STIPENDS?
2 model development, evaluation, or dissemination?
3 technical assistance/info.?

(**) Opposite each activity in the left-hand column, write the number of the strategy(ies) represented by that activity.

1 recruitment/retention
2 targeting critical needs
3 model development, evaluation, dissemination
4 leadership development
5 state and professional standards
6 parent organization projects
7 capacity building
8 institutionalization

(***) In this column, enter either QUAN, QUAL, or SYS, which correspond to the three federal program objectives.

F. FEDERAL PROGRAM INPUTS (BY DPP)

PROTOCOL QUESTION: HOW WERE GRANT SUPPORT/ADMINISTRATION AND OTHER PROCESSES ("PROGRAM INPUTS") IMPLEMENTED FOR THIS PROJECT/COMPETITION?

The purpose of this section of the instrument is to collect information about Personnel Preparation Program activity in the Division of Personnel Preparation (DPP) that helps the reviewer analyze findings from data collected in the instrument.

For example, DPP actions and policies may help explain linkages (or linkage failures) between grantee activity, federal strategies to be pursued through that activity, and the presence (or absence) of outcomes that further the three objectives of the Personnel Preparation Program.

The reviewer will obtain much of the information for this section of the instrument from documents, such as the FY 1984 grant announcements, technical review and evaluation plan, prefunding review packages, and other award documentation.

In addition, reviewers will interview DPP staff and grantees for each project in the sample to give them an opportunity to comment on any of these federal level activities that they believe have enhanced or hindered their ability (or the system's inclination) to further the three program objectives.

REVIEWER: Focus discussions with DPP staff and grantees on factors that may help explain (1) congruities or incongruities between program intent and actual implementation, and (2) the ease or difficulty of furthering program objectives.

1. How was the GRANT PROCESS carried out for the project (and the competition)?

in order to:

further federal program objectives and to pursue federal strategies that are linked to this type of grant activity/competition.

Potentially productive topics include:

For the competition,

- focus of competition, and changes in focus over time

- logic or rationale whereby the competition focus is intended to further program straegies and objectives

- related constraints and gaps that characterize this logic in actual practice

- clarity of application package

- degree to which the "technical review and evaluation plan":

  -- reflected program regulations and policies
  -- was implemented as intended

     Examples: selection of reviewers and formation of panels, their orientation and instruction; guidelines for project officer recommendations, management reviews, and preparation of prefunding packages

- number of awards made

- total amount of funds awarded to new and continuation grants

- average size of grant, and range (lowest, highest award)

For the project,

- overall rating of proposal

- significant aspects of proosal that were negotiated and changed in the final award

2. How was GRANT ADMINISTRATION carried out for this project (and for this competition)?

Potentially productive topics include:

- quantity and content of contacts between DPP staff and grantee since initial award

- perceived "quality" and utility of contacts

- relevance of contacts for furthering federal program objectives

- nature of data on project accomplishments that are:

  -- requested by DPP
  -- reported by grantee
  -- summarized by DPP
  -- actually used by DPP (HOW USED? _____)

3. What other activities of the Personnel Preparation Program:

- influenced the grant activity/competition

- help explain perceived gaps between expectations and reality for this project/competition?

APPENDIX C

Competition Areas

- Table C-1. Summary of Funding History for Competition Areas

- Charts for Each Area

Figure C-1. Special Educators
Figure C-2. Related Services
Figure C-3. Rural
Figure C-4. Infant
Figure C-5. Transition
Figure C-6. Minority
Figure C-7. Leadership
Figure C-8. Special Projects
Figure C-9. Regular Educators
Figure C-10. SEA Projects
Figure C-11. Parent Organization Projects

Table C-1. Summary of Funding History for Competition Areas

COMPETITION AREAS	1983 #	1983 $	1984 #	1984 $	1985 #	1985 $	1986 #	1986 $
SPECIAL EDUCATORS								
new	187	$11,096,471	131	$8,196,833	116	$8,014,673	155	$11,064,026
cont	0	$0	185	$10,962,216	309	$19,298,538	247	$16,770,345
INFANTS								
new	0	$0	0	$0	15	$1,019,444	15	$1,082,088
cont	0	$0	0	$0	0	$0	15	$1,218,416
MINORITY								
new	0	$0	0	$0	0	$0	19	$1,561,806
cont	0	$0	0	$0	0	$0	0	$0
RELATED SERVICES								
new	29	$1,359,280	27	$1,397,030	25	$1,580,027	28	$2,000,000
cont	0	$0	26	$1,262,735	51	$2,571,541	49	$2,929,178
SEA PROJECTS								
new	27	$1,895,087	22	$1,578,864	9	$664,417	7	$500,000
cont	0	$0	25	$1,891,499	47	$3,400,653	30	$2,191,043
PARENT ORG PROJECTS								
new	35	$2,124,658	41	$3,745,212	11	$1,084,804	38	$4,340,402
cont	0	$0	32	$2,008,720	64	$5,137,805	11	$1,136,030
LEADERSHIP								
new	47	$3,726,967	40	$3,289,216	12	$885,697	19	$2,250,000
cont	0	$0	47	$3,702,638	86	$6,987,298	52	$4,500,000
SPECIAL PROJECTS								
new	32	$3,067,818	21	$1,729,197	13	$921,726	20	$1,750,000
cont	24	$1,521,000	45	$3,978,320	50	$4,939,922	34	$2,750,000
RURAL								
new	0	$0	0	$0	8	$564,099	8	$564,024
cont	0	$0	0	$0	0	$0	8	$483,668
REGULAR EDUCATORS								
new	12	$668,406	15	$996,453	9	$653,846	7	$500,000
cont	0	$0	10	$600,906	25	$1,613,460	24	$1,750,000
TRANSITION								
new	0	$0	9	$807,663	0	$0	0	$0
cont	0	$0	0	$0	9	$807,373	9	$831,106
PROGRAM ASSISTANCE								
new	0	$0	0	$0	0	$0	0	$0
cont	444	$23,740,360	185	$9,081,357	0	$0	0	$0
OTHER EXPENSE CATEGORIES								
new	0	$0	1	$129,743	0	$0	0	$0
cont	0	$0	0	$0	1	$732,571	1	$750,868
other		$0		$58,000		$68,000		$325,000
TOTALS	837	$49,200,047	862	$55,416,602	860	$60,945,894	808	$61,248,000

Note: Entries in the FY86 column for some competitions may vary slightly from actual awards as a result of grant negotiations that were underway while this report was being prepared.

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COMPETITION OBJECTIVE	INPUTS	IMPLEMENTATION	OUTPUTS	OUTCOMES
• To provide preservice training for personnel preparing for employment as special educators of handicapped children and youth	Legislation and Regulations • P.L. 91-230, Sections 631, 632, and 634, Part D, as amended by P.L. 93-380 (1974), P.L. 98-199 (1983) • 34 CFR Part 318 • EDGAR, 34 CFR Parts 74, 75, 77 and 78 Funding (FY86) • (See Table C-1.) Eligibility Requirements • IHEs, public and private colleges, SEAs, LEAs, other nonprofit public and private agencies Conditions That Must Be Met • Applications must show evidence from data collected annually that need does exist, and reflect priorities identified in CSPD portion of state plans Reporting Requirements • Annual Financial Status Report • Final Performance Report (within 90 days after project termination) • Annual Performance Report (continuation projects) Monitoring • Grants are assigned to project officers to monitor by state. • Project officers do telephone monitoring of grantees.	Applications Funded (New, FY86) • (See Table C-1.) Review Criteria • Extent of need (25 points) • Program content (15 points) • Operation plan (15 points) • Evaluation plan (15 points) • Quality of key personnel (15 points) • Adequacy of resources (5 points) • Budget (10 points) Review Process (FY86) • Applications are reviewed by external peer review panels consisting of 3 reviewers (limited to special education professionals). • Project officers' recommendations are based heavily on raw and standardized score ratings by peer review panels and on panels' narrative justifications. • Review process usually takes 3 months or more.	• Number and category of students trained • Number and nature of materials and programs developed, revised, or supported • Number and degree level of students receiving stipends	• Increase in special education personnel qualified to educate handicapped children and youth

Figure C-1. Special Educators

COMPETITION OBJECTIVES	INPUTS	IMPLEMENTATION	OUTPUTS	OUTCOMES
• To provide preservice preparation to individuals who provide developmental, corrective, and other supportive services • To improve the quality and increase number of professionals who provide special education related services	Legislation and Regulations • P.L. 91-230, Sections 631, 632, and 634, Part D, as amended by P.L. 93-380 (1974), P.L. 98-199 (1983) • 34 CFR Part 318 • EDGAR 34 CFR Parts 74, 75, 77, and 78 Funding (FY86) • (See Table C-1.) Eligibility Requirements • IHEs, public and private colleges, SEAs, LEAs, other nonprofit public and private agencies Conditions That Must Be Met • Applications must show evidence from data collected annually that need does exist, and reflect priorities identified in CSPD portion of state plans. Reporting Requirements • Annual Financial Status Report • Final Performance Report (within 90 days after project termination) • Annual Performance Report (continuation projects) Monitoring • Grants are assigned to project officers to monitor by state. • Project officers do telephone monitoring of grantees.	Applications Funded (New, FY86) • (See Table C-1.) Review Criteria • Extent of need (25 points) • Program content (15 points) • Operation plan (15 points) • Evaluation plan (15 points) • Quality of key personnel (15 points) • Adequacy of resources (5 points) • Budget (10 points) Review Process (FY86) • Applications are reviewed by external peer review panels consisting of 3 reviewers (limited to related services professionals). • Project officers' recommendations are based heavily on raw and standardized score ratings by peer review panels and on panels' narrative justifications. • Review process usually takes 3 months or more.	• Number and category of students trained • Number and nature of materials and programs developed, revised, or supported • Number and degree level of students receiving stipends	• Increase in personnel qualified to provide developmental, corrective, and other special education related services to handicapped children and youth

Figure C-2. Related Services

COMPETITION OBJECTIVE	INPUTS	IMPLEMENTATION	OUTPUTS	OUTCOMES
• To provide preservice training for personnel for rural areas	Legislation and Regulations • P.L. 91-230, Sections 631, 632, and 634, Part D, as amended by P.L. 93-380 (1974), P.L. 98-199 (1983) • 34 CFR Part 318 • EDCAR 34 CFR Parts 74, 75, 77, and 78 Funding (FY86) • (See Table C-1.) Eligibility Requirements • IHEs, public and private colleges, SEAs, LEAs, other nonprofit public and private agencies Conditions That Must Be Met • Applications must show evidence from data collected annually that need does exist, and reflect priorities identified in CSPD portion of state plans. Reporting Requirements • Annual Financial Status Report • Final Performance Report (within 90 days after project termination) • Annual Performance Report (continuation projects) Monitoring • Grants are assigned to project officers to monitor by state. • Project officers do telephone monitoring of grantees.	Applications Funded (New, FY86) • (See Table C-1.) Review Criteria • Extent of need (25 points) • Program content (15 points) • Operation plan (15 points) • Evaluation plan (15 points) • Quality of key personnel (15 points) • Adequacy of resources (5 points) • Budget (10 points) Review Process (FY86) • Applications are reviewed by external peer review panels consisting of 3 reviewers. • Project officers' recommendations are based heavily on raw and standardized score ratings by peer review panels and on panels' narrative justification. • Review process usually takes 3 months or more.	• Number and category of students trained • Number and nature of materials and programs developed, revised, or supported • Number and degree level of students receiving stipends	• Increase in personnel qualified to fill a variety of rural-specific roles with handicapped students, parents, peers, and administrators

Figure C-3. Rural

COMPETITION OBJECTIVES	INPUTS	IMPLEMENTATION	OUTPUTS	OUTCOMES
• To provide preservice preparation of personnel to serve handicapped and at-risk newborn and infants • To prepare personnel to provide short-term or long-term special education and related services (as in an intensive care nursery or a preschool program) • To prepare personnel for employment in programs characterized by interaction of the medical, educational, and related services communities, and involvement of parents or guardians	Legislation and Regulations • P.L. 91-230, Sections 631, 632, and 634, Part D, as amended by P.L. 93-380 (1974), P.L. 98-199 (1983) • 34 CFR Part 318 • EDGAR, 34 CFR Parts 74, 75, 77, and 78 Funding (FY86) • (See Table C-1.) Eligibility Requirements • IHEs, public and private colleges, SEAs, LEAs, other nonprofit public and private agencies Conditions That Must Be Met • Applications must show evidence from data collected annually that need does exist, and reflect priorities identified in CSPD portion of state plans. Reporting Requirements • Annual Financial Status Report • Final Performance Report (within 90 days after project termination) • Annual Performance Report (continuation projects) Monitoring • Grants are assigned to project officers to monitor by state. • Project officers do telephone monitoring of grantees.	Applications Funded (New, FY86) • (See Table C-1.) Review Criteria • Extent of need (25 points) • Program content (15 points) • Operation plan (15 points) • Evaluation plan (15 points) • Quality of key personnel (15 points) • Adequacy of resources (5 points) • Budget (10 points) Review Process (FY86) • Applications are reviewed by external peer review panels consisting of 3 reviewers experienced in the preparation of personnel to serve newborn and infant handicapped and at-risk. • Project officers' recommendations are based heavily on raw and standardized score ratings by peer review panels and on panels' narrative justifications. • Review process usually takes 3 months or more.	• Number and category of students trained • Number and nature of materials and programs developed, revised, or supported • Number and degree level of students receiving stipends	• Increase in personnel qualified to provide short- and long-term care to handicapped and at-risk newborn and infants • Increase in qualified personnel working in programs characterized by interaction between medical, educational, and related services communities, and parental or guardian involvement

Figure C-4. Infant

COMPETITION OBJECTIVE	INPUTS	IMPLEMENTATION	OUTPUTS	OUTCOMES
• To provide preservice training for personnel preparing for employment in programs designed to prepare handicapped youth for community placement and adjustment to the community setting.	Legislation and Regulations • P.L. 91-230, Sections 631, 632, and 634, Part D, as amended by P.L. 93-380 (1974), P.L. 98-199 (1983) • 34 CFR Part 318 • EDGAR, 34 CFR Parts 74, 75, 77, and 78 Funding (FY84) • (See Table C-1.) Eligibility Requirements • IHEs, public and private colleges, SEAs, LEA, other nonprofit public and private agencies Conditions That Must Be Met • Applications must show evidence from data collected annually that need does exist, and reflect priorities identified in CSPD portion of state plans. Reporting Requirements • Annual Financial Status Report • Final Performance Report (within 90 days after project termination) • Annual Performance Report (continuation projects) Monitoring • Grants are assigned to project officers to monitor by state. • Project officers do telephone monitoring of grantees.	Applications Funded (New, FY84) • (See Table C-1.) Review Criteria (FY84) • Extent of need (20 points) • Program content (15 points) • Operation plan (15 points) • Evaluation plan (15 points) • Quality of key personnel (15 points) • Adequacy of resources (10 points) • Budget (10 points) Review Process (FY84) • Applications are reviewed by panels consisting of 3 reviewers with appropriate expertise (one of whom must be non-federal). • Project officers' recommendations are based heavily on raw and standardized score ratings by peer review panels and on panels' narrative justifications. • Review process usually takes 3 months or more.	• Number and category of students trained • Number and nature of materials and programs developed, revised, or supported • Number and degree level of students receiving stipends	• Increase in special education and related services personnel qualified to prepare handicapped youth to meet adult roles

Figure C-5. Transition

COMPETITION OBJECTIVES	INPUTS	IMPLEMENTATION	OUTPUTS	OUTCOMES
• To provide preservice preparation of special education and/or related personnel to educate minority children • To provide preservice preparation to groups that have been underrepresented, such as members of racial or ethnic minorities	Legislation and Regulations • P.L. 91-230, Sections 631, 632, and 634, Part D, as amended by P.L. 93-380 (1974), P.L. 98-199 (1983) • 34 CFR Part 318 • EDGAR 34 CFR Parts 74, 75, 77, and 78 Funding (FY86) • (See Table C-1.) Eligibility Requirements • IHEs, public and private colleges, SEAs, LEAs, other nonprofit public and private agencies Conditions That Must Be Met • Applications must show evidence from data collected annually that need does exist, and reflect priorities identified in CSPD portion of state plans. Reporting Requirements • Annual Financial Status Report • Final Performance Report (within 90 days after project termination) • Annual Performance Report (continuation projects) Monitoring • Grants are assigned to project officers to monitor by state. • Project officers do telephone monitoring of grantees.	Applications Funded (New, FY86) • (See Table C-1.) Review Criteria • Extent of need (25 points) • Program content (15 points) • Operation plan (15 points) • Evaluation plan (15 points) • Quality of key personnel (15 points) • Adequacy of resources (5 points) • Budget (10 points) Review Process (FY86) • Applications are reviewed by external peer review panels consisting of 3 reviewers (to include 1 reviewer active in the preparation of minority handicapped children). • Project officers' recommendations are based heavily on raw and standardized score ratings by peer review panels and on panels' narrative justifications. • Review process usually takes 3 months or more.	• Number and category of students trained • Number and nature of materials and programs developed, revised, or supported • Number and degree level of students receiving stipends	• Increase in personnel qualified to educate minority handicapped children and youth • Increase in minority personnel qualified to educate handicapped children and youth

Figure C-6. Minority

COMPETITION OBJECTIVE	INPUTS	IMPLEMENTATION	OUTPUTS	OUTCOMES
• To provide preservice doctoral and postdoctoral preparation of professional personnel to conduct training of teacher trainers, researchers, administrators, and other specialists	Legislation and Regulations • P.L. 91-230, Sections 631, 632, and 634, Part D, as amended by P.L. 93-380 (1974), P.L. 98-199 (1983) • 34 CFR Part 318 • EDGAR 34 CFR Parts 74, 75, 77, and 78 Funding (FY86) • (See Table C-1.) Eligibility Requirements • IHEs, public and private colleges, other non-profit public and private agencies, including parent organizations Conditions That Must Be Met • All applicant agencies must meet state and professional standards. • Applicants must show evidence that proposed projects address state and/or national needs data. Reporting Requirements • Annual Financial Status Report • Final Performance Report (within 90 days after project termination) • Annual Performance Report (continuation projects) Monitoring • Grants are assigned to project officers to monitor by state. • Project officers do telephone monitoring of 1/3 of grantees annually.	Applications Funded (New, FY86) • (See Table C-1.) Review Criteria • Extent of need (25 points) • Program content (15 points) • Operation plan (15 points) • Evaluation plan (15 points) • Quality of key personnel (15 points) • Adequacy of resources (5 points) • Budget (10 points) Review Process (FY86) • Applications are reviewed by external peer review panels consisting of 3 reviewers: - panel limited to reviewers with a doctorate who are working with doctoral programs; - panels should include 1 repeat reviewer and 1 director of a current federally-funded doctoral or postdoctoral program. • Project officers' recommendations are based heavily on raw and standardized score ratings by peer review panels and on panels' narrative justifications. • Review process usually takes 3 months or more.	• Number, category, and level of students trained • Number, category, and level of students receiving stipends	• Increase in doctoral level personnel qualified to train teacher trainers, do research, administer programs

Figure C-7. Leadership

COMPETITION OBJECTIVE	INPUTS	IMPLEMENTATION	OUTPUTS	OUTCOMES
• To support projects to develop, evaluate, and distribute new approaches for preservice and inservice training	Legislation and Regulations • P.L. 91-230, Sections 631, 632, and 634, Part D, as amended by P.L. 93-380 (1974), P.L. 98-199 (1983) • 34 CFR Part 318 • EDGAR 34 CFR Parts 74, 75, 77, and 78 Funding (FY86) • (See Table C-1.) Eligibility Requirements • IHEs, public and private colleges, SEAs, LEAs, other nonprofit public and private agencies Conditions That Must Be Met • Applicants must show evidence that proposed projects address state and/or national needs data. Reporting Requirements • Annual Financial Status Report • Final Performance Report (within 90 days after project termination) • Annual Performance Report (continuation projects) Monitoring • Grants are assigned to project officers to monitor according to their expertise and their assigned states. • Project officers do telephone monitoring of grantees.	Applications Funded (New, FY86) • (See Table C-1.) Review Criteria • Extent of need (25 points) • Program content (15 points) • Operation plan (15 points) • Evaluation plan (15 points) • Quality of key personnel (15 points) • Adequacy of resources (5 points) • Budget (10 points) Other Selection Considerations • Potential for broad impact • Potential to improve significantly the quality of personnel preparation efforts Review Process (FY86) • Applications are reviewed by external peer review panels consisting of 3 reviewers. • Project officers' recommendations are based heavily on raw and standardized score ratings by peer review panels and on panels' narrative justification. • Review process usually takes 3 months or more.	• Number, nature, and quality of model approaches for preservice training of regular educators • Number, nature, and quality of model approaches for inservice training of special education personnel, including classroom aides, related services personnel, and regular education personnel • Number, nature, and quality of materials developed • Number and type of materials, models, or other information disseminated • Number and types of dissemination targets	• Use of quality practices for preservice and inservice training of personnel (all levels) who serve handicapped children and youth • Improved quality of personnel trained in these programs

Figure C-8. Special Projects

COMPETITION OBJECTIVES	INPUTS	IMPLEMENTATION	OUTPUTS	OUTCOMES
• To provide preservice and inservice training of regular educators to assist with the identification and delivery of services to handicapped children and youth • To develop personnel training programs for regular educators on a statewide basis • To disseminate/diffuse statewide training models	Legislation and Regulations • P.L. 91-230, Sections 631, 632, and 634, Part D, as amended by P.L. 93-380 (1974), P.L. 98-199 (1983) • 34 CFR Part 318 • EDGAR 34 CFR Parts 74, 75, 77, and 78 Funding (FY86) • (See Table C-1.) Eligibility Requirements • SEAs only Conditions That Must Be Met • Applications must show evidence from data collected annually that need does exist, and reflect priorities identified in CSPD portion of state plans. Reporting Requirements • Annual Financial Status Report • Final Performance Report (within 90 days after project termination) • Annual Performance Report (continuation projects) Monitoring • Grants are assigned to project officers to monitor by state. • Project officers do telephone monitoring of grantees.	Applications Funded (New, FY86) • (See Table C-1.) Review Criteria • Extent of need (25 points) • Program content (15 points) • Operation plan (15 points) • Evaluation plan (15 points) • Quality of key personnel (15 points) • Adequacy of resources (5 points) • Budget (10 points) Review Process (FY86) • Applications are reviewed by at least 3 independent reviewers (1 of whom is nonfederal), who then convene as a panel. • Project officers' recommendations are based heavily on raw and standardized score ratings by peer review panels and on panels' narrative justification. • Review process usually takes 3 months or more.	• Number and nature of statewide training models developed/implemented to identify and work with handicapped students in "mainstreamed" settings • Number and nature of "best practices" evident in these statewide training models • Number of regular educators trained in these programs • Competencies demonstrated by regular educators as a result of such training	• Increase in regular education personnel, including administrators and supervisors, who are qualified to provide services to handicapped children in "mainstreamed" settings

Figure C-9. Regular Educators

COMPETITION OBJECTIVES	INPUTS	IMPLEMENTATION	OUTPUTS	OUTCOMES
• To assist SEAs to increase the supply and improve the quality of teachers of handicapped children and youth and their supervisors • To improve SEA leadership capability for development, dissemination, and incorporation of successful educational training practices statewide • To assist states in preservice and inservice training in areas of unique need	Legislation and Regulations • P.L. 91-230, Sections 631, 632, and 634, Part D, as amended by P.L. 93-380 (1974), P.L. 98-199 (1983) • 34 CFR Part 318 • EDGAR, 34 CFR Parts 74, 75, 77, and 78 Funding (FY86) • (See Table C-1.) Eligibility Requirements • Only SEAs are eligible. • SEAs may conduct training directly or contract with IHEs. Conditions That Must Be Met • Projects must deal with unique statewide training needs identified by data collected annually, and recommended by CSPD unit. • Projects must focus on training of supervisors and teachers of handicapped children and youth. • Projects may include training in management and organizational design to enhance states' ability to provide special education services to children and youth. Reporting Requirements • Annual Financial Status Report • Final Performance Report (within 90 days of termination) • Annual Performance Report (continuation projects) Monitoring • Grants are assigned to project officers to monitor by state. Project officers monitor a minimum of 10 projects annually. • Monitoring is conducted by phone.	Applications Funded (New, FY86) • (See Table C-1.) Review Criteria • Extent of need (25 points) • Program content (15 points) • Operation plan (15 points) • Evaluation plan (15 points) • Quality of key personnel (15 points) • Adequacy of resources (5 points) • Budget (10 points) Review Process (FY86) • Applications are reviewed by panel of external and internal peer reviewers: current SEA employees, former SEA employees, individuals who currently or formerly work closely with SEAs. • Project officers' recommendations are based heavily on raw and standardized score ratings by peer review panels and on panels' narrative justifications. • Review process usually takes 3 months or more.	• Number and category of personnel trained (all levels) • Number and nature of training programs developed and disseminated • Number and nature of "best practices" evident in these statewide training programs • Number and nature of statewide priorities addressed by these training programs	• Increased and improved capacity of states to train teachers and supervisors

Figure C-10 SEA Projects

COMPETITION OBJECTIVE	INPUTS	IMPLEMENTATION	OUTPUTS	OUTCOMES
• To provide training and information to parents of handicapped children, and to persons who work with parents	Legislation and Regulations • P.L. 91-230, Sections 631, 632, and 634, Part D as amended by P.L. 93-380 (1974), P.L. 98-199 (1983) • 34 CFR Part 318 • EDGAR, 34 CFR Parts 74, 75 77, and 78 Funding (FY86) • (See Table C-1.) Eligibility Requirements • Parent organizations or private, nonprofit agencies meeting very specific requirements in the law that ensure parents a major role in developing and implementing proposed projects Reporting Requirements • Annual Financial Status Report • Final Performance Report (within 90 days of termination) • Annual Performance Report (continuation projects) Monitoring • Grants are assigned to project officers to monitor by state. • Project officers do telephone monitoring of grantees.	Applications Funded (New, FY86) • (See Table C-1.) Review Criteria • Extent of need (25 points) • Program content (15 points) • Operation plan (15 points) • Evaluation plan (15 points) • Quality of key personnel (15 points) • Adequacy of resources (5 points) • Budget (10 points) Other Selection Considerations • Geographical distribution • Focus on providing service to parents of all handicapped children in all categories • Focus on unique training and information needs of parents Review Process (FY86) • Applications are reviewed by external peer review panels consisting of 3 reviewers. • Project officers' recommendations are based heavily on and standardized score ratings by peer review panels and on panels' narrative justification. • Review process usually takes 3 months or more.	• Types of information provided to parents • Number and types of curriculum and programs developed/revised • Number and nature of parent training activities conducted • Competencies and knowledge demonstrated by participants in parent projects, e.g.: - handicapped children's educational rights; - educational system's responsibilities; and - effective strategies for working with educational system.	• Parents, and persons who work with them, become actively involved on behalf of their children's education and assist in that process.

Figure C-11. Parent Organization Projects

APPENDIX D

The Study Sample

- Table D-1. Reasons for Deletions from and Additions to the Sample

- Basic Descriptive Information for Projects in the Sample

Table D- 2. "Special Educators" Projects (N=9)
Table D- 3. "Related Services" Projects (N=5)
Table D- 4. "Rural" Projects (N=5)
Table D- 5. "Infant" Projects (N=3)
Table D- 6. "Transition" Projects (N=5)
Table D- 7. "Minority" Projects (N=3)
Table D- 8. "Leadership" Projects (N=6)*
Table D- 9. "Special Projects" (N=7)
Table D-10. "Regular Educators" Projects (N=4)
Table D-11. "SEA Projects" (N=4)
Table D-12. "Parent Organization Projects" (N=5)

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* One of the 7 projects in the Leadership subsample was dropped because available information was too minimal to include it in subsequent analyses.

Table D-1

Reasons for Deletions from and Additions to
the Sample for the Personnel Preparation Program Goal Evaluation

Competition Area	Total # in Sample	Deletions/Additions	Reason
Special Educators	9	No changes	
Related Services:	(5)		
• "Paraprofessional"	1	Delete PR029FH40077 "Train...Deaf Interpreters"	"Deaf interpreters" a much more specific target (personnel) than the "typical paraprofessional" so not a true specimen of this subsample.
		Add PR029FH40014 "Train...Paraprofessionals"	Identified by random draw as "Replacement #1."
• "Career Ed"	1	No changes	
• "OT, PT, Nurse"	1	No changes	
• "Counselor"	1	No changes	
• "Therapeutic Rec."	1	No changes	
Rural	5	Delete PR029AH60064 Delete PR029AH60224 Delete PR029AH60022	Not a true specimen of focus on Rural training.
		Add PR029VH60007 Add PR029VH60004 Add PR029VH60003	Had to go to FY85 to complete sample with 3 projects that focused on RURAL training.
Infant	3	Delete PR029AH60043 Delete PR029AH60097	Second project directed by same person. Early childhood focus, NOT infant.
		Add PR029AH60060 Add PR029AH60105	Next in random draw for replacements, with true focus on INFANT training. Two other replacement candidates discarded because of focus on early childhood, not infant.

Table D-1 (continued)

Reasons for Deletions from and Additions to
the Sample for the Personnel Preparation Program Goal Evaluation

Competition Area	Total # in Sample	Deletions/Additions	Reason
Transition	5	Delete PR029VH60005	Anomalous selection.
		Delete PR029VH60007	Second project with same director.
		Add PR029AH60026	Next in random draw for replacements.
		Add PR029AH60057	
Minority	3	No changes	
Leadership	7	No changes	
Special Projects	7	Delete PR029KH40141	Emphasis on delivery of training; not much development.
		Add PR029KH40016	First selected by random draw.
SEA Projects	4	Add CALIFORNIA	Only 3 states had both SEA projects and Regular Educators projects (KS, MN, SD). Therefore, added the 4th project of each type from two big states.
Regular Educators	4	Add NEW YORK	
Parent Organization Projects	5	No changes	

Table D-2. "Special Educators" Projects (N=9)

Title	Target Roles	Target Handicapped Population	Funding
"Multidisciplinary Master's Degree Program for Teachers of the Behaviorally Disordered/Emotionally Disturbed" Type of Institution: IHE Location: Maryland	Teacher of behaviorally/emotionally disturbed, especially secondary aged encarcerated youth Level: M.A.; Preservice	Behaviorally disordered, emotionally disturbed children and youth	FY84 $89,330 FY85 $89,330 FY86 $89,330
"Bachelor's Degree Teacher Training Program in Deaf Education" Type of Institution: IHE Location: Arkansas	Certified special education teachers of hearing impaired Level: B.A. or Certificate; Preservice	Mainstreamed underserved, transition, early childhood, institutionalized, and multiply handicapped deaf and hearing impaired children and youth	FY84 $45,000 FY85 $45,000 FY86 $45,000
"Pre-Service Training of Master's Degree Students in the Area of Adapted Physical Education" Type of Institution: IHE Location: Nevada	Certified teacher in adapted physical education Level: M.A.; Preservice	Handicapped children and youth in special schools, regular schools, and itinerant programs	FY84 $25,769 FY85 $25,769 FY86 $25,769
"Personnel Preparation in the Area of Behavior Disorders" Type of Institution: IHE Location: Utah	Classroom teacher, children and youth Level: B.A. and post B.A.; Preservice	Behaviorally disordered children and youth	FY84 $78,794 FY85 $78,794 FY86 $78,794
"Preparation of Special Educators - Undergraduate Program in Applied Developmental Disabilities" Type of Institution: IHE Location: Florida	Classroom teacher Level: B.A.; Preservice	Learning disabled, emotionally disturbed, and mentally retarded children and youth	FY84 $67,349 FY85 $67,349 FY86 $67,349

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Table D-2. "Special Educators" Projects (continued)

Title	Target Roles	Target Handicapped Population	Funding	
"Master's Level Training for Teachers of the Handicapped"	Special education teacher	Handicapped children, youth, and young adults	FY84 FY85 FY86	$79,575 $79,575 $79,575
Type of Institution: IHE Location: Oregon	Level: B.A.; Preservice			
"Training of Speech/Language Pathologists, Audiologists	Speech/language pathologists, audiologists	Children and adolescents severely handicapped by communication disorders	FY84 FY85 FY86	$21,393 $21,393 $21,393
Type of Institution: IHE Location: New York	Level: M.A.; Preservice			
"Preparation of Special Educators for the Mildly/Moderately Handicapped"	Special education teachers (all levels)	Mildly/moderately handicapped children and youth (ages 0-21) in rural areas (i.e., those identified under the categories of specific learning disability, behaviorally impaired, or educable mentally handicapped and who are mainstreamed into regular education)	FY84 FY85 FY86	$47,827 $52,937 $55,584
Type of Institution: IHE Location: Nebraska	Level: Certificate (reendorsement); Preservice			
"Training Specialists to Appropriately Serve Blind and Visually Impaired Individuals"	Teachers of visually handicapped children and youth (ages 0-21)	Visually handicapped children and youth (ages 0-21)	FY84 FY85 FY86	$76,805 $76,805 $76,805
Type of Institution: IHE Location: California	Level: Certificate; M.A.; Preservice, Inservice			

Table D-3. "Related Services" Projects (N=5)

Title	Target Roles	Target Handicapped Population	Funding
"Project PARA: A Project to Improve the Training and Utilization of Paraprofessionals in Special Education" Type of Institution: IHE Location: Nebraska	Special educators (primarily classroom teachers in public and private institutions); special education paraprofessionals Level: Certificate of completion; Preservice	School-age children and youth (all conditions, all levels)	FY84 $72,640 FY85 $72,640 FY86 $72,640
"Occupational Therapy Students' Training for High School-Based Independent Living Skills Development" Type of Institution: IHE Location: California	Occupational therapists in school-based programs Level: M.A.; Preservice	Severely handicapped high school students	FY84 $94,860 FY85 $94,860 FY86 $94,860
"Training Parent-Trainers to Facilitate Career Education Practices in the Homes of Urban Handicapped Youth" Type of Institution: IHE Location: New York	Career education trainer of parents (primarily school personnel) Level: Certificate of competency; Preservice	Inner-city handicapped Hispanic students (primarily neurologically and/or emotionally handicapped)	FY84 $86,889 FY85 $86,889 FY86 $86,889
"Gallaudet College Project for the Training of School Counselors for Hearing Impaired Children" Type of Institution: IHE Location: District of Columbia	School counselors of hearing impaired children and youth in a variety of settings (all levels, public and private) Level: M.A.; Preservice	Hearing impaired children and youth	FY84 $34,967 FY85 $34,967 FY86 $43,659
"Preservice BA/MA Level Programs in Therapeutic Recreation/Child Life Services" Type of Institution: IHE Location: New York	Therapeutic recreation/child life specialists and administrators in pediatric units of general or specialty hospitals Level: B.A.; M.A.; Preservice	Ill and handicapped children, including infants, toddlers, youth, and adolescents	FY84 $44,907 FY85 $44,907 FY86 $44,907

Table D-4. "Rural" Projects (N=5)

Title	Target Roles	Target Handicapped Population	Funding
"Preservice Training of Rural Special Education Personnel in the Area of Severely Handicapped"	Classroom teacher, teacher consultant, resource room teacher, itinerant teacher	Rural moderately to severely/ profoundly handicapped students and families	FY84 $39,852 FY85 $41,009 FY86 not in grant file
Type of Institution: IHE	Level: B.A.; Preservice		
Location: Vermont			
"Rural General Special Education Preservice Personnel Preparation Program with Emphasis on Low-Incidence"	Rural education consultant, rural special education generalist	Low incidence handicapped learners	FY84 $78,840 FY85 $78,840 FY86 $78,840
Type of Institution: IHE	Level: M.A.; Preservice		
Location: Oregon			
"Preparation of Special Educators: Bachelor and Masters Level Training for Teachers of the Hearing Impaired in Rural Kentucky"	Classroom teacher in resident school, self-contained classroom, or itinerant program	Deaf children	FY84 $25,629 FY85 $38,123 FY86 $50,673
Type of Institution: IHE	Level: B.A., M.A.; Preservice		
Location: Kentucky			
"Preparation of Special Educators: Masters Level Training for Teachers of the Communicatively Handicapped in Rural School Districts"	Rural service positions, speech-language pathologists	Communicatively handicapped in rural school districts	FY84 $75,000 FY85 $80,000 FY86 $83,549
Type of Institution: IHE	Level: M.A.; Preservice		
Location: Mississippi			
"Preparation of Early Childhood Special Education Rural Service Providers"	Direct service providers, indirect resource managers	Young handicapped rural children three years and above	FY84 $52,968 FY85 $52,968 FY86 $52,968
Type of Institution: IHE	Level: M.A.; Preservice		
Location: Washington			

Table D-5. "Infant" Projects (N=3)

Title	Target Roles	Target Handicapped Population	Funding
"Preparation Program for Parent-Infant Education Specialists"	Parent Educator and Consultant	Handicapped, multi-handicapped infants three years and below, minority and underserved, especially hearing impaired and their parents	FY84 $72,507 FY85 $74,721 FY86 $72,502
Type of Institution: IHE	Level: M.A.; Preservice		
Location: Washington, D.C.			
"Preparation of Special Educators, Master's Level Training for Teachers of Handicapped Infants and Pre-School Children"	Early childhood special educators, early interventionists	Handicapped infants and preschoolers	FY84 $54,706 FY85 $54,706 FY86 $54,706
Type of Institution: IHE	Level: M.A.; Preservice		
Location: Pennsylvania			
"Preparation of Special Educators: Preservice Training of Master's Level Speech-Language Pathologists, Audiologists to Serve Infants/ Preschool Children"	Audiologists, speech-language pathologists; early interventionists	Handicapped infants: birth to five years	FY84 $47,787 FY85 $42,742 FY86 $43,260
Type of Institution: IHE	Level: M.A.; Preservice		
Location: South Carolina			

Table D-6. "Transition" Projects (N=5)

Title	Target Roles	Target Handicapped Population	Funding
"Masters Level Training for Special Vocational Educators of the Handicapped"	Secondary-level vocational classroom teachers/instructors in nontraditional settings; supervisors and administrators of vocational programs	All age groups, educational levels, and types of handicapping conditions (who typically receive prevocational--13-15--and vocational/career/occupational training--15-21)	FY84 $44,054 FY85 $44,054 FY86 $44,054
Type of Institution: IHE Location: Connecticut	Level: M.A.; Preservice		
"Preservice Training of Special Educators, Counselors, and Vocational Educators to Work Cooperatively in the Vocational Programming of Handicapped Students"	Secondary-level personnel in Industrial Arts, Vocational Education, Special Education, School Counseling (e.g., industrial arts instructor, vocational education instructor, special education resource specialist, school counselor) who work in a variety of settings (e.g., local schools, regional vocational-technical schools, sheltered workshops, other human services agencies)	Secondary level handicapped students, crossing all conditions	FY84 $45,000 FY85 $50,000 FY86 $57,000
Type of Institution: IHE Location: Connecticut	Level: Certificate; M.S.; Preservice		
"Transition Special Educators for Seriously Emotionally Disturbed Adolescents: An Education Specialist's Degree Level Training Program"	Transition special educators in a variety of settings (e.g., LEAs, private psychiatric facilities, community schools, residential/day/hospital programs)	Seriously emotionally disturbed adolescents	FY84 $79,054 FY85 $79,054 FY86 $80,907
Type of Institution: IHE Location: District of Columbia	Level: Ed.S.; Preservice		
"Secondary Vocational Education for the Handicapped"	Secondary special educator with ability to provide comprehensive vocational/career education; resource consultant to vocational educators; special educator with ability to adapt curriculum to needs of secondary/postsecondary handicapped learners (in middle, high, and alternative schools and postsecondary schools)	Youth at secondary/postsecondary level who are learning disabled, mentally retarded, seriously emotionally disturbed, physically handicapped, severely/profoundly handicapped	FY84 $100,000 FY85 $100,000 FY86 $100,000
Type of Institution: IHE Location: Indiana	Level: Certificate; B.A.; M.A.; Preservice		

Table D-6. "Transition" Projects (continued)

Title	Target Roles	Target Handicapped Population	Funding
"Leadership Development Program in Vocational Special Needs Education"	Local leadership personnel in vocational special education in a variety of agencies (e.g., schools, rehabilitation facilities, correctional centers, etc.) which all receive federal funding under PL 94-142 and PL 94-482	All handicapped populations served by LEAs in Illinois (youth and adults)	FY84 $72,500 FY85 $72,500 FY86 $72,500
Type of Institution: IHE Location: Illinois	Level: 4 units of credit toward M.A. or doctoral degree; Preservice		

Table D-7. "Minority" Projects (N=3)

Title	Target Roles	Target Handicapped Population	Funding
"Preservice Special Education Preparation of Minority Status Teachers"	Classroom teacher	Learning disabled or emotionally disabled children	FY84 $63,608 FY85 $64,220 FY86 $66,989
Type of Institution: IHE	Level: M.A.; Preservice		
Location: Iowa			
"Bilingual Special Education Administrative Interns Project"	Building administrators (principals and assistant principals)	Regular, special education, bilingual, linguistically and culturally different student populations	FY84 $47,003 FY85 $70,000 FY86 $70,000
Type of Institution: LEA	Level: M.A.; Preservice		
Location: California			
"Preparation of Teachers to Serve Severely Behaviorally Disordered Students from Minority Populations	Classroom teacher	Behaviorally disordered and severely behaviorally disordered minority children and youth	FY84 $84,243 FY85 $84,243 FY86 $84,243
Type of Institution: Private, nonprofit	Level: M.A.; Preservice		
Location: Ohio			

Table D-8. "Leadership Projects" (N=6)

Title	Target Roles	Target Handicapped Population	Funding
"Preparation of Special Education Personnel" Type of Institution: IHE Location: Kentucky	Special education teacher trainers, researchers, administrators Level: Doctoral (Ed.D.); Preservice	Handicapped children, youth, and adults	FY84 $103,748 FY85 $103,748 FY86 $103,795
"Doctoral Training in Special Education/School Psychology and the Handicapped Hispanic Child" Type of Institution: IHE Location: Texas	Special education/school psychology teacher trainers, researchers, specialists, school psychologists, administrators, supervisors Level: Doctoral (Ph.D.); Preservice	Handicapped Hispanic children and youth with learning and behavioral problems; children with behavior problems	FY84 $110,211 FY85 $110,211 FY86 $110,899
"Doctoral Leadership Training in Teaching and Research--Psycholinguistics of Early Childhood Language Disorders from a Bilingual and Multicultural Perspective" Type of Institution: IHE Location: Massachusetts	University-level teacher trainers and researchers; administrators, evaluators, consultants, clinicians Level: Doctoral; Preservice	Young children with language and communication disorders, who come from bilingual, minority, and multicultural homes	FY84 $61,764 FY85 $61,764 FY86 $75,851
"Preparation of Leadership Personnel in Communication Disorders" Type of Institution: IHE Location: Washington	College and university teacher trainers of Communication Disorder Specialists (direct clinical service providers) Level: Doctoral; Preservice	Preschool and school-age children with communication (speech-hearing) handicaps, focusing on children with communication disorders in the early childhood, severely handicapped, and hearing-impaired populations	FY84 $103,732 FY85 $103,732 FY86 $103,732

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Table D-8. "Leadership Projects" (continued)

Title	Target Roles	Target Handicapped Population	Funding
"Preparation of Leadership Personnel for the Visually Impaired"	Teacher trainers in colleges and universities preparing personnel in the special education of visually-impaired students; researchers, administrators, supervisors in LEAs, SEAs, regional and other programs; consultants	Visually-impaired and multiply handicapped children and youth	FY84 $87,474 FY85 $90,474 FY86 $98,000
Type of Institution: IHE	Level: Doctoral; Preservice		
Location: Tennessee			
"George Mason University Doctor of Arts in Education: Special Education"	Special education administrators, teacher trainers, curriculum specialists, diagnosticia researchers; policymakers at local, state, federal, international levels	All handicapped learners	FY84 $101,469 FY85 $ 95,169 FY86 $ 93,169
Type of Institution: IHE	Level: Doctoral (D.A.Ed); Preservice		
Location: Virginia			

Table D-9. "Special Projects" (N=7)

Title	Target Roles	Target Handicapped Population	Funding
"Preparation of Speech Pathologists and Audiologists (to serve) Handicapped Children, Birth to Five" Type of Institution: IHE Location: Colorado	Speech pathologists, audiologists Level: M.A. (Specialists); Preservice	Young children (0-5 years) with communication disorders	FY84 $44,705 FY85 $63,111 FY86 $60,251
"Training System for Infant Service Providers" Type of Institution: IHE Location: District of Columbia	Medical, educational, and therapeutic specialists in hospitals and in the community who serve handicapped infants in their first year of life Level: Specialists, Inservice, Preservice	Sick, high-risk, handicapped infants, birth to one year old	FY84 $100,000 FY85 $122,332 FY86 $ 95,699
"Training School and Community Service Personnel for Transition of Secondary Handicapped Students to Post-School Environments" Type of Institution: IHE Location: Oregon	Special education teachers, school administrators, and community service providers Level: Inservice	Moderate to severely handicapped youth (middle school and high school age, chronologically speaking)	FY84 $65,113 FY85 $75,199 FY86 $73,813
"Graduate Training in Technology for the Handicapped" Type of Institution: IHE Location: Maryland	Administrators, special educators, therapists, and computer coordinator (emerging role) Level: M.S. or Certificate	All; multiple-handicapped individuals most frequently represented	FY84 $44,705 FY85 $63,111 FY86 $60,251
"Advancing Technology Through Statewide Recreation Network" Type of Institution: IHE Location: Massachusetts	Therapeutic recreation and other specialists, educators, agency administrators, parents Level: Inservice, Preservice (graduate level)	All disabilities	FY84 $74,563 FY85 $74,563 FY86 $80,000

Table D-9. "Special Projects" (continued)

Title	Target Roles	Target Handicapped Population	Funding
"Mainstreaming: Home/School Integrated Intervention"	Special educators, administrators, parents, and support personnel	Mildly handicapped and "at-risk" students in elementary and secondary schools	FY84 $97,846 FY85 $89,810 FY86 $84,391
Type of Institution: Area Education Agency	Level: Inservice		
Location: Iowa			
"Project S.H.A.R.E."	Information givers, disabled presenters, and volunteer facilitators/trainers	All who attend public schools	FY84 $92,660 FY85 $92,660 FY86 $92,660
Type of Institution: Parent (community-based coalition of parent organizations)	Level: N/A		
Location: Illinois			

Table D-10. "Regular Educators" Projects (N=4)

Title	Target Roles	Target Handicapped Population	Funding
"Preparation of Regular and Special Educators" Type of Institution: SEA Location: South Dakota	Regular educators, special educators Level: Inservice	Mildly handicapped students in regular classrooms	FY85 $44,576 FY86 $55,505
"Prereferral to Special Education Model" Type of Institution: SEA Location: Minnesota	Regular educators, special educators Level: Inservice	Learning disabled and all mildly handicapped students in public schools, including children with behavior problems	FY85 $69,518 FY86 $69,518
"School Administrators Statewide Inservice" Type of Institution: SEA Location: Kansas	School administrators, superintendents, school board members Level: Inservice	All handicapped students in regular classrooms	FY84 $44,652 FY85 $44,652 FY86 $44,652
"Expanding Educational Opportunities for LD Students" Type of Institution: SEA Location: New York	Regular classroom teachers, building principals, school psychologists, special educators, IHE teacher trainers Level: Inservice	Learning disabled students and "those not classified who are experiencing learning difficulties"	FY85 $110,000 FY86 $122,000

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Table D-11. "SEA Projects" (N=4)

Title	Target Roles	Target Handicapped Population	Funding
"ED-MED: Statewide Inservice Training Models for Increasing Collaborative Interaction between Physicians and Educators to Improve Services to Handicapped Children--Provide Training for Educators and Physicians" Type of Institution: SEA Location: California	Primary care physicians (developmental/behavioral pediatrics, family practice, general practice); special educators and regular educators (administrators, teachers, school nurses, other support personnel) Level: Inservice; Preservice	Handicapped children in general--0-5 years and school age	FY84 $85,000 FY85 $85,000 FY86 $85,000
"A Statewide Network for Special Education Paraprofessional Preservice and Inservice Training" Type of Institution: SEA Location: Kansas	Paraprofessionals in all areas of special education, all settings, all levels Level: Paraprofessional Permit at Level 1, 2, and 3; Inservice; Preservice	All conditions, ages 0-21	FY84 $109,710 FY85 $109,710 FY86 $109,710
"Preparing Special Educators for Partnerships in Special Needs Vocational Training" Type of Institution: SEA Location: South Dakota	Special education teachers, some of whom are trained through the project as "job development specialists" Level: Inservice	Secondary-level mildly handicapped youth	FY84 $49,076 FY85 $76,664 FY86 (not in grant file)
"Regional Inservice/Preservice in Early Childhood Handicapped, Transition to Work, Limited English Proficiency (LEP), and Indian Social Work Aide (ISWA)" Type of Institution: SEA Location: Minnesota	Special educators, special education administrators, regular educators, community service providers Level: Inservice	All conditions, for the following groups: children 0-3 years old; children and youth who are Native American, or who are enrolled in secondary-level special education, or who have limited English proficiency (LEP)	FY84 $80,000 FY85 $96,782 FY86 $96,782

Table D-12. "Parent Organization Projects" (N=5)

Title	Target Roles	Target Handicapped Population	Funding
"Technical Assistance for Parent Programs - TAPP" (prime contract) Type of Institution: Private, nonprofit Location: Massachusetts	Effective Parent Training Project	All currently funded parent organization projects under DPP for parents of children with all handicapping conditions	FY84 Period 1 $129,723 FY84 Option 1 $732,571 FY85 Option 2 $750,868 FY86 Option 3 $679,283
"Technical Assistance for Parent Programs - TAPP" (regional sub-contract) Type of Institution: Private, nonprofit Location: New Hampshire	Effective parent training project	All currently funded parent organization projects under DPP for parents of children with all handicapping conditions	FY84 $55,000 FY85 $58,000 FY86 not in grant file
"Nevada Specially Trained Effective Parents Project" Type of Institution: Private, nonprofit Location: Nevada	Parent Facilitator	All handicapping conditions	FY84 $88,500 FY85 $88,500 FY86 not in grant file
"Parents Training Parents" Type of Institution: Private, nonprofit Location: Michigan	Parent trainer	All handicapping conditions	FY84 $129,602 FY85 $136,082 FY86 $142,886
"Training Parents of Handicapped Children in Central Arkansas Type of Institution: Private, nonprofit Location: Arkansas	Parent trainer	Parents of children with all handicapping conditions	FY84 $42,225 FY85 $42,225 FY86 $105,225 (The extra funds cover a joint grant in another city.)

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APPENDIX E

List of Persons Interviewed

Table E-1. List of Persons Interviewed

OSERS/OSEP PERSONNEL

Max Mueller
Director
Division of Personnel Preparation

Harvey Liebergott
Chief, Related Personnel Branch
Division of Personnel Preparation

Martha Bokee
Manager, Related Services
Personnel Competition
Division of Personnel Preparation

Frank King
Manager, SEA Competition
Division of Personnel Preparation

Betty Baker
Manager, Transition Competition
Division of Personnel Preparation

Jack Tringo
Manager, Parent Organization
Projects Competition
Division of Personnel Preparation

Norm Howe
Chief, Leadership Personnel Branch
Division of Personnel Preparation

William "Pete" Peterson
Manager, Special Projects
Competition
Division of Personnel Preparation

Doris Sutherland
Manager, Leadership Competition
Division of Personnel Preparation

CONGRESSIONAL SOURCES

Gray Garwood
Staff Director
House Select Subcommittee on
Education

Dave Esquith
House Select Subcommittee on
Education

Lani Florian
Legislative Assistant
Senate Subcommittee on the
Handicapped

STATE SOURCES

Karl Murray
Administrator, Personnel
Development Unit
California State Department of Education

OTHER OSERS PERSONNEL

Mike Herrell
Office of the Assistant Secretary
OSERS

Richard Melia
Project Officer, National Insti-
tute of Handicapped Research
OSERS

OSERS/OSEP PERSONNEL (CONT.)

Robert (Bob) Gilmore
Manager, Rural Competition
Division of Personnel Preparation

Dick Champion
Manager, Regular Educators Competition
Division of Personnel Preparation

Angele Thomas
Staff, Leadership Personnel Branch
Division of Personnel Preparation

Don Blodgett
Manager, Special Educators Competition
Division of Personnel Preparation

Sandra Hazen
Manager, Infants Competition
Division of Personnel Preparation

Vickie Ware
Manager, Minority Competition
Division of Personnel Preparation

Tom Finch
Chief, Early Childhood Branch
Division of Educational Services

Marty Kaufman
Director
Division of Innovation and Development

Paul Ackerman
Acting Director
Division of Program Analysis and Planning

Etta Waugh
Staff, Regional Resource Centers
Division of Assistance to States

OTHER DEPARTMENT OF EDUCATION PERSONNEL

Greg Frane
Budget Analyst
Office of Planning, Budget, and Evaluation

Ann Weinheimer, Mary Papageorgiou
Center for Statistics

Larry La Moure
Center for Statistics

OTHER FEDERAL OFFICES

James Ricciuti
Budget Examiner
Office of Management and Budget

TAPP

Martha Ziegler
Director, Technical Assistance Center for Parent Organization Projects

CONSTITUENCIES

Judy Smith-Davis
Private Consultant

Dick Schofer
University of Missouri

Deborah Smith
University of New Mexico

Stan Dublinski
American Speech and Hearing Association (ASHA)

OSERS/OSEP PERSONNEL (CONT.)

Dave Rostetter
Chief, Monitoring Branch
Division of Assistance to States

Bill Tyrell
Deputy Director
Division of Assistance to States

Jim Hamilton
Project Officer, Research Projects Branch
Division of Innovation and Development

Bill Wolf
Acting Branch Chief/Project Officer
Program Planning and Information Branch
Division of Program Analysis and Planning

Patty Guard
Acting Director
OSEP

CONSTITUENCIES (CONT.)

Doris Helge
Western Washington University

Oliver (Leon) Hurley
Georgia State University
Higher Education Consortium for Special Education (HECSE)

Herbert Prehm, Fred Weintraub
Council on Exceptional Children (CEC)

Bill Schipper
National Association of State Directors of Special Education (NASDSE)

Lou Bowers
President, National Consortium on Physical Education for the Handicapped

Phil Burke
Chairman, Department of Special Education
University of Maryland

APPENDIX F

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Appendix F

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